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**Warsaw Outcomes and Key Issues for
Lima: An Overview**

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I. Introduction

In 1992, more than 100 world leaders gathered in Rio de Janeiro, Brazil for the United Nations Conference on Environment and Development (also known as the Earth Summit). Among the major outcomes of the Conference was the adoption of the United Nations Framework Convention on Climate Change (UNFCCC), an international treaty binding its signatories to cooperate in limiting global temperature increases and addressing adverse effects of inevitable climate change. The Convention entered into force in 1994 and today has near-universal membership, with 195 States party to its statutes.

All States party to the Convention are represented at the Conference of the Parties (COP) – the supreme decision-making body of the UNFCCC. The COP has been meeting annually around the world since its first session in 1994 (COP-1, Berlin). Following the entry into force of the Kyoto Protocol in 2005, the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP) has been convening together with the COP. The nineteenth session of the Conference of the Parties and the ninth session of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (COP-19/CMP-9) were held in Warsaw, Poland, in November 2013. COP-20/CMP-10 will take place in Lima, Peru, from 1 to 12 December 2014, followed by COP-21/CMP-11 (December 2015) in Paris, France.

Supporting the COP and the CMP, there are two permanent subsidiary bodies to the Convention: the Subsidiary Body for Implementation (SBI) and the Subsidiary Body for Scientific and Technological Advice (SBSTA). These meet in parallel, twice a year. A number of non-permanent bodies established under the Convention and the Kyoto Protocol also meet throughout the year and make recommendations to the SBI and SBSTA, whose conclusions are in turn considered by the COP/CMP.

The UNFCCC process concerns itself with reviewing the implementation of the Convention and other legal instruments the COP adopts, and taking decisions to support the achievement of the Convention's ultimate objective – to stabilise greenhouse gas concentrations in the atmosphere at a level that would prevent dangerous anthropogenic interference with the climate system (United Nations 1992). The following section will introduce on-going discussions on a universal, legally-binding agreement on climate change, started in 2011 and set to conclude in 2015. Section III will then outline other key issues negotiated under the Convention, elaborating on decisions adopted at the last COP session (COP-19/CMP-9) and developments from meetings that took place since then. It will also introduce key political and technical issues on the table for the upcoming COP in Lima. Deadlines for several submissions to the secretariat are contained in the annexes.

II. Paving the way towards a new, universal and legally-binding agreement on climate change

Over the years discussions under the UNFCCC process have been challenging, with various successes in reaching agreement on actions contributing to the implementation of the Convention, but at times also marred with unmet expectations. Soon after the Convention entered into force, Parties agreed that greater ambition was needed in global efforts to curb emissions. They adopted the Kyoto Protocol (which came into effect in 2005) mandating its developed country Parties to reduce overall emissions of six greenhouse gases by an average of 5 per cent below 1990 levels during the

first commitment period (between 2008 and 2012)¹. What would happen after 2012 was to be determined by a process adopted at COP-13 in 2007, known as the Bali Road Map. This was to enable the full and sustained implementation of the Convention through long-term cooperative action, and the adoption of a decision on a post-2012 climate regime at its fifteenth session in 2009. Parties agreed on the Copenhagen Accord at COP-15, but rather than adopting it, they only ‘took note’ of the document.

COP-17/CMP-7 (2011) witnessed a turning point in the negotiations, however, with the adoption of the Durban Platform for Enhanced Action². Recognising more than ever the urgency to raise ambition and scale up action for fulfilling the ultimate objective of the UNFCCC, Parties launched a new process to develop a protocol, another legal instrument or an agreed outcome with legal force under the Convention applicable to all Parties. They established the Ad Hoc Working Group on the Durban Platform for Enhanced Action (ADP) to complete this task, no later than 2015 in order for the new agreement to be adopted at COP-21/CMP-11 and come into effect and be implemented from 2020 onwards. They also launched a workplan on enhancing pre-2020 mitigation ambition to identify and to explore options for a range of actions that can close the ambition gap with a view to ensuring the highest possible mitigation efforts by all Parties.

Discussions under the ADP thus set out under two Workstreams i.e. Workstream-I would address the elements of the 2015 agreement upon which will lay the foundation for the future climate regime, while Workstream-II to addresses matters relating to pre-2020 mitigation ambition.

Warsaw decision on further advancing the Durban Platform³

At COP-19/CMP-19 in Warsaw (11-23 November 2013), Parties requested the ADP to further elaborate, beginning at its first session in 2014, elements for a draft negotiating text, taking into consideration its work on mitigation, adaptation, finance, technology development and transfer, capacity-building and transparency of action and support. They further invited all Parties to initiate or intensify domestic preparations for their ‘intended nationally determined contributions’ in a manner that facilitates the clarity, transparency and understanding of the intended contributions, urging developed country Parties, among others, to provide support early in 2014 for carrying out these activities. Thus, a pathway was set for governments to make the necessary preparations to contribute to the formulation of the future global climate change regime and take steps to reach a final agreement in Paris, in 2015.

With regard to Workstream-II, the COP resolved to enhance ambition in the pre-2020 period in order to ensure the highest possible mitigation efforts under the Convention by all Parties. Developed country Parties were urged to communicate and implement their respective quantified economy-wide emission reduction targets without further delay, and where applicable, their limitation or reduction commitments under the Kyoto Protocol, as well as to revisit and evaluate these targets periodically. They were further urged to increase technology, finance and capacity-building support to enable increased mitigation ambition by developing country Parties. Developing country Parties were equally urged to communicate and implement their Nationally Appropriate Mitigation Actions (NAMAs) and consider further action.

¹ At COP-18/CMP-8 (2012) in Doha, Parties agreed to a second commitment period for the Kyoto Protocol, from 2013 to 2020 (Decision 1/CMP.8).

² Decision 1/CP.17

³ Decision 1/CP.19

Parties also decided to accelerate activities under this workplan by intensifying the technical examination of opportunities for actions with high mitigation potential, including those with adaptation and sustainable development co-benefits, with a focus on the implementation of policies, practices and technologies that are substantial, scalable and replicable. This is to be done with a view to promoting voluntary cooperation on concrete actions in relation to identified mitigation opportunities in line with nationally defined developed priorities. The ADP accordingly invited Parties and observers to the UNFCCC to submit to the secretariat information on opportunities, including their mitigation benefits, costs, co-benefits and barriers to their implementation and strategies to overcome those barriers, including finance, technology and capacity-building support for mitigation action in developing country Parties.

III. Progress on Warsaw outcomes

In addition to that relating to the ADP's work on the 2015 agreement and pre-2020 mitigation ambition, decisions adopted at COP-19/CMP-9 covered a range of issues supporting the implementation of the Convention, including other topics on mitigation, adaptation, loss and damage, finance, technology development and transfer, and capacity building. These are outlined below, along with further updates from the fortieth session of the Subsidiary Body for Implementation (SBI) and Subsidiary Body for Scientific and Technological Advice (SBSTA) which took place from 4 to 15 June 2014 in Bonn, Germany.

Status of ADP discussions

Three ADP sessions have taken place since COP-19, in March, June and October 2014 in Bonn, Germany. At the end of the March session, Parties established a contact group so that the ADP could begin operating through a more focused mode of work from June onwards.

Intended Nationally Determined Contributions

Much of the Workstream-I discussion this year has been around the 'intended nationally determined contributions' (INDCs) which Parties agreed to communicate well in advance of COP-21 (and by the first quarter of 2015 by those Parties in a position to do so). Parties sought clarity over the scope and nature of the INDCs, i.e. whether they should focus on mitigation contributions only, or if they should go beyond mitigation and also address Parties' contributions around adaptation action and support as well as means of implementation (including finance, capacity building, and technology development and transfer). They also had extensive discussions on what upfront information should be provided with the INDCs, to ensure that Parties' aggregate proposed contributions are consistent with a below 1.5°C or 2°C pathway⁴ and to enhance collective understanding of what each Party considers its 'fair share' of mitigation (and other) action. Parties are to determine how and when this information should be presented in order to facilitate transparency, comparability and assessment, and subsequent ratcheting up of ambition if the aggregate effort is not deemed adequate.

Though it is generally agreed that all Parties should communicate INDCs, there has been debate over whether there should be differentiation in the type of information Parties should provide. For example, Parties with higher capabilities and higher shares of greenhouse gas emissions could

⁴ At COP-15 in 2009, Parties took note of the Copenhagen Accord, wherein Heads of States/Governments agreed to hold global temperature increase below 2°C above pre-industrial levels by 2100. Vulnerable Parties including those constituting the Least Developed Countries Group, Small Island Developing States and the Africa Group call for strengthening this long-term global goal to 1.5°C.

provide quantifiable economy-wide emission reduction targets, following a common timeframe, baseline or base year, and greenhouse gases or sectors covered, among other details. On the other hand, Parties with fewer capabilities such as the Least Developed Countries (LDCs) could provide INDCs that are more qualitative in nature. However, the basis upon which how such differentiation should be operationalised is the contentious issue. Many Parties will not agree to a bifurcated categorisation of countries based on the Convention's annexes, while others argue that the 1992 annexes are still applicable as they reflect historical responsibility to climate change. A number of other countries have proposed alternative approaches to determine the basis of differentiation.

Respecting deadlines is a critical aspect of the INDC exercise. This is particularly the case for INDCs on mitigation, because many Parties call for an ex ante assessment and review process to take place before the mitigation contributions/commitments' inscription into the 2015 Agreement. This process, they argue, would allow for Parties to ratchet up their proposed efforts in line with the principles of equity and common but differentiated responsibilities and respective capabilities. Doing this would ensure that the aggregate mitigation efforts responds to the demands of science. Alternatively, the assessment and review could form the basis upon which Parties decide to complement INDCs with a top-down process with rules and obligations to take mitigation actions. INDCs on adaptation, however, which some propose can form the vehicle by which developing country Parties can elaborate on their specific adaptation needs and priorities, could be bound to a lesser degree to strict deadlines. A longer timeframe could be granted for preparing adaptation INDCs, Parties argue, as long as they are communicated in advance of 2020 when the Agreement will enter into force.

As per the Warsaw decision which called on Parties to initiate preparations for their INDCs, the ADP is to identify these upfront information requirements by COP20. There will likely also be further clarity on the scope and timeframes of INDCs. Based on the discussions this year, the ADP co-chairs have put forward a draft decision for proposed adoption in Lima.⁵

Elements of the draft negotiating text

The Durban decision that established the ADP mandated Parties to plan its work on, inter alia, mitigation, adaptation, finance, technology development and transfer, transparency of action and support, and capacity-building. While there is general agreement that all six of these elements should be addressed at the core of the future Agreement, many Parties call for balanced treatment of all elements.

Vulnerable Parties in particular are adamant that adaptation is given political parity with mitigation in the future climate regime. Many Parties are supportive of a global aspirational goal on adaptation towards which Parties could contribute individual and collective efforts (for example, by embarking on low carbon climate resilient development pathways). There is also support for the Agreement to build on existing UNFCCC provisions on adaptation such as the Cancun Adaptation Framework and the Nairobi Work Programme,⁶ and call upon all Parties to submit National Adaptation Plans (NAPs). Vulnerable country Parties, however, stress that the Agreement should assure concrete

⁵ The co-chairs' draft text is available here: http://unfccc.int/files/meetings/bonn_oct_2014/in-session/application/pdf/adp2-6_i3_24oct2014t1530.dt.pdf

⁶ The Cancun Adaptation Framework was adopted in 2010 (Decision 1/CP.16). It seeks to enhance action on adaptation under the Convention by reducing vulnerability and building resilience in developing country Parties. Parties established the Nairobi Work Programme on impacts, vulnerability and adaptation in 2005 (Decision 2/CP.11) as a mechanism to inform and support adaptation policies and actions.

implementation of adaptation action and support, and not add to already heavy reporting burdens of countries with fewer capabilities. It should moreover give permanence to existing institutions such as the Least Developed Countries Expert Group (LEG) and the Warsaw International Mechanisms on Loss and Damage, to avoid having to repeatedly justify the necessity of their work through COP decisions. Other Parties, on the other hand, warn that anchoring them into the new Agreement will render them static and incapable of adjust with evolving realities.

With regard to the means of implementation, there is much divergence over whether the Agreement should include quantified finance commitments or national finance targets, or whether such quantifiable collective goals can be part of an accompanying political declaration. As with the discussions on mitigation, there is also disagreement over which Parties should take the lead in providing climate finance – whether it should be developed country Parties as those historically responsible for climate change, or if it should also be developing country Parties with high levels of emissions and greater capabilities. The extent of the role of the private sector in mobilising climate finance is another contentious issue. Nevertheless, there has been some agreement that the Green Climate Fund (GCF) should be anchored in the new Agreement as its financial mechanism, and that the GCF Board’s decision on balanced allocation for mitigation and adaptation should also apply in the future regime.

However, substantive discussions on other aspects of the means of implementation and those on transparency of action and support have only just begun. Vulnerable country Parties stress that provisions for capacity building and technology development and transfer are essential and must be included in the future regime. They should build on current UNFCCC provisions and anchoring existing institutions into the new Agreement. On technology development and transfer, a major point of divergence has been around Intellectual Property Rights and trade barriers. Many countries argue that these make technology transfer to countries most in need impossible while others are of the view that they fuel innovation. Finally, Parties agree that transparency of action and support is essential, and that the new framework for transparency should build on the current one. However, more clarity is needed on the key elements that should underpin the transparency framework in the new agreement, including monitoring, reporting and verification of support.

The ADP is mandated to consider elements for the draft negotiating text no later than at COP-20 in Lima, with a view to making the text available before May 2015. To allow for enough time to translate the text into the six official UN languages, the co-chairs have recommended that the text be ready by April 2015. Taking into account the discussions thus far, they have communicated a non-paper of Parties’ views and proposals on the elements for a draft negotiating text, which will be updated following the October session of the ADP.⁷

Workstream-II

Under Workstream-II, a number of technical expert meetings (TEMs) have taken place since Warsaw to share policies, practices and technologies and address the necessary finance, technology and capacity-building, with a special focus on actions with high mitigation potential. The areas covered in these TEMs have thus far included renewable energy, energy efficiency, land use, urban environment, carbon capture, use and storage and non-CO₂ greenhouse gases. However, progress on the elaboration of a workplan to enhance mitigation ambition in the 2015-2020 period has

⁷ The ADP co-chairs’ non-paper is available here:
<http://unfccc.int/resource/docs/2014/adp2/eng/6nonpap.pdf>

remained slow. In Lima, Parties are expected to adopt a decision on pre-2020 action that sets the basis for continuing work on pre-2020 action after the conclusion of the ADP in 2015. The ADP co-chairs have communicated a draft text, based on the discussions thus far.⁸

Mitigation

Under the UNFCCC, developed country Parties commit themselves specifically to adopt national policies and take corresponding climate change mitigation measures, by limiting anthropogenic greenhouse gas emissions and protection and enhancing greenhouse gas sinks and reservoirs. This is addressed primarily through the Kyoto Protocol (1997), for which a second commitment period was agreed at COP-18/CMP-8, from 2012 to 2020, and measurable, reportable and verifiable nationally appropriate mitigation commitments or actions under the Bali Action Plan.

Also in the context of the Bali Roadmap and reinforced at COP-16,⁹ developing country Parties agreed to take nationally appropriate mitigation actions (NAMAs) in the context of sustainable development, supported and enabled by technology financing and capacity-building, in a measurable, reportable and verifiable manner.

As previously discussed, COP-16 noted the significant gap between the aggregate effect of Parties' mitigation pledges in terms of global annual greenhouse gas emissions by 2020, and aggregate emission pathways required to have a likely chance of holding the global average temperature increase below 2°C or 1.5°C above pre-industrial levels. The question of how to enhance mitigation ambition to identify and explore options to close this gap is addressed under Workstream-II of the ADP.

Mitigation – REDD-plus

In 2010, COP-16 encouraged developing country Parties to contribute to mitigation actions in the forest sector by reducing emissions from deforestation and forest degradation, the sustainable management of forests, and the conservation and enhancement of forest carbon stocks (REDD-plus).¹⁰ Building on this, Parties in Warsaw agreed on a series of decisions,¹¹ designated as the Warsaw Framework for REDD-plus, on finance and institutional arrangements for the mechanism. The framework was backed by pledges of USD 280 million from the US, Norway and the UK.

Adaptation

Adaptation is the process by which individuals, communities and countries implement means to respond to the adverse effects of climate change happening now, as well as reduce and prepare for those impacts that will arise in the future. Among decisions taken at COP-19 were those on the Adaptation Committee,¹² the Nairobi Work Programme (NWP) on impacts, vulnerability and adaptation to climate change,¹³ and national adaptation plans.¹⁴ UNEP and UNDP are supporting the LDCs under the National Adaptation Plan Global Support Programme (NAP-GSP) for advancing NAPs. The provision of support to Non-LDCs is currently also under discussion.

⁸ The ADP co-chairs' draft text is available here: http://unfccc.int/files/meetings/bonn_oct_2014/in-session/application/pdf/adp2-6_i3_24oct2014t2100_dt.pdf

⁹ Decision 1/CP.16

¹⁰ Decision 1/CP.16

¹¹ Decisions 9/CP.19, 10/CP.19, 11/CP.19, 12/CP.19, 13/CP.19, 14/CP.19 and 15/CP.19

¹² Decision 16/CP.19

¹³ Decision 17/CP.19

¹⁴ Decision 18/CP.19

The Adaptation Committee was encouraged to continue its work on providing technical support and guidance to the Parties, in particular in the area of national adaptation plans, and to seek further coherence and synergy with other relevant bodies and programmes under the Convention. The Committee organised a special event during the fortieth sessions of the SBI and the SBSTA to showcase its activities and engage in a dialogue with Parties and other stakeholders. The fifth and sixth meetings of the Adaptation Committee took place in Bonn, in March and September-October 2014, respectively.

COP-19 decided to continue the NWP as well as to enhance its relevant on the basis of: activities that build upon each other and are linked to issues that are practical and engage adaptation practitioners; the development of linkages with other relevant Workstreams and bodies under the Convention; the development of knowledge products to improve the understanding and assessment of impacts, vulnerability and adaptation in response to needs identified by Parties; and support for the effective dissemination of knowledge products at all levels.

In its conclusions at its 40th session, the SBSTA considered ways to enhance the effectiveness of the NWP through the following activities:

- Enhancing collaboration with global and regional knowledge networks and NWP partner organizations in order to strengthen the production and dissemination of knowledge on adaptation;
- Inviting regional centers and networks to serve as regional knowledge platforms for the implementation of activities under the NWP;
- Considering web-based activities; and
- Further considering improved approaches to engaging with NWP partner organizations when SBSTA takes stock of progress at SBSTA 44 (May 2016).

The SBSTA also requested the secretariat to prepare a synthesis report based on the information submitted in response to the call for submissions at SBSTA 39. The SBSTA had invited Parties and NWP partner organizations to include in its submissions: available and implemented tools and methods for human adaptation planning processes, and good practices and lessons learned addressing ecosystems, human settlements, health and water resources; and good practices and lessons learned related to processes and structures linking national and local adaptation planning. At SBSTA 40, it refined this earlier call to request additional information on: good practices and lesson learnt related to processes and structures for linking national and local adaptation planning; and available tools and methods for adaptation planning in relation to four issues of ecosystems, human settlements, water resources and health. The SBSTA invited the Adaptation Committee and the LEG to consider the synthesis report, for consideration at SBSTA 41 (December 2014), when conducting their work on adaptation planning.

SBI-40 welcomed the submission of funding proposals for the implementation of National Adaptation Programmes of Action (NAPAs); as of 20 April 2014, 48 countries had accessed USD 817.25 million for 150 projects to implement NAPAs. The SBI also welcomed the approval of resources totalling USD 6.73 million for the NAP Global Support Programme and for a project to build the capacity of LDCs to participate effectively in the intergovernmental climate change process under the LDC work programme.

Overall, the SBI noted the importance of continuing to support the full implementation of NAPAs and to build capacity for medium- and long-term adaptation planning and implementation. It encouraged the LEG to maintain flexibility in the management of its work programme for 2014–2015, taking into account available resources. The SBI invited Parties in a position to do so to continue to provide support for the implementation of the LEG work programme.

In its draft conclusions, the SBI invited the Adaptation Committee in collaboration with the Least Developed Countries Expert Group (LEG) to organise a workshop on the formulation and implementation of national adaptation plans (NAPs) to be held prior to SBI 42 (June 2015). To serve as input to the workshop, the SBI also invited the LEG and the Adaptation Committee to prepare an information paper on experiences, good practices, lessons learned, gaps and needs in the process to formulate and implement national adaptation plans based on the NAP Expo and relevant documents for consideration by SBI 41 (December 2014).

The SBI invited the Adaptation Committee, in collaboration with the LEG and with the support of the secretariat, to prepare a report on the workshop. It will consider this report by SBI 42 with a view to make recommendations to the COP. The SBI decided to continue its consideration of the matter at SBI 41 on the basis of, inter alia, the Co-Chairs' notes contained in the annex to the conclusions. The Co-Chairs' notes contained sections on guidelines; support for the formulation and implementation of national adaptation plans; and reporting, monitoring and evaluation.

Loss and damage

One of the major gains achieved at COP-19 was the adoption of the decision establishing the Warsaw international mechanism for loss and damage associated with climate change impacts¹⁵ (Decision 2/CP.19). This mechanism, subject to review at COP-22 (2016), is to provide vulnerable developing countries with better protection against loss and damage caused by impacts of climate change, including extreme events and slow onset events such as rising sea levels. Although the decision acknowledges that loss and damage associated with the adverse effects of climate change includes, and in some cases involves more than, that which can be reduced by adaptation, the Warsaw international mechanism is established under the Cancun Adaptation Framework. The structure, mandate and effectiveness of the mechanism are subject to review at COP-22 (2016).

Decision 2/CP.19 also establishes an executive committee of the Warsaw international mechanism, which is to function under the guidance of, and be accountable to, the COP, to guide the implementation of mechanism's functions. Requested to report annually to the COP (through the SBI and the SBSTA), the executive committee is to consist of, as an interim measure, two representatives each from specified bodies under the Convention,¹⁶ ensuring balanced representation between developed and developing country Parties. Its work began with an initial meeting in Bonn, from 25 to 28 March 2014, and the development of a two-year workplan for consideration in Lima.

Finance

Large-scale investments and a predictable, sustainable flow of funds are essential to finance the global response to climate change. Under the Convention, developed country Parties are to assist

¹⁵ Decision 2/CP.19

¹⁶ These are the Adaptation Committee, the Least Developed Countries Expert Group, the Standing Committee on Finance, the Technology Executive Committee, and the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention.

developing country Parties in meeting the incremental costs of implementing UNFCCC provisions, as well as those borne from adaptation to adverse effects of climate change. In this context, COP-7 (2001) established three funds under the Convention: the Least Developed Countries Fund (LDCF); the Special Climate Change Fund (SCCF); and the Adaptation Fund (AF). A decade later, at COP-16/CMP-6, Parties decided to establish the Green Climate Fund (GCF) as an operating entity of the financial mechanism of the UNFCCC. The GCF is envisioned to promote the paradigm shift towards a low carbon economy and climate resilient development pathways by i) supporting projects, programmes, policies and activities in developing countries through a variety of financial instruments, funding windows and access modalities including direct access; ii) balancing allocation between adaptation and mitigation; and iii) ensuring adequate resources for technology development and transfer and capacity building. In 2015, developed countries also committed to a goal of mobilising jointly USD 100 billion per year by 2020 to address the needs of developing countries.

COP-19 dealt with eleven agenda items on climate finance. On the GCF, the COP called for ambitious and timely contributions by developed countries to enable an effective operationalization in the context of preparing, by December 2014, the initial resource mobilisation process. It further underlined that the initial resource mobilisation should reach a very significant scale that reflects the needs and challenges of developing countries in addressing climate change, and invited financial inputs from a variety of other sources, public and private, for this process. With regard to initial guidance on policies, programme priorities and eligibility criteria for the Fund, Parties requested the GCF: to balance the allocation of resources between adaptation and mitigation, and ensure an appropriate allocation of resources for other activities; to pursue a country-driven approach; and to take into account the urgent and immediate needs of particularly vulnerable developing countries (in allocating resources for adaptation). They also confirmed that all developing country Parties to the Convention are eligible to receive resources from the GCF. The GCF Secretariat has elaborated a programme of work on readiness and preparatory support for eligible developing countries. Priority activities supported under this programme include: i) the establishment of a national designated authority or focal point; ii) defining a strategic framework for interaction with the Fund; iii) selection of intermediaries or implementing entities to facilitate direct access to international climate finance; and iv) developing an initial pipeline of programme and project proposals (Green Climate Fund 2014).

The COP also adopted a decision on long-term climate finance,¹⁷ which urges developed country Parties to maintain continuity of mobilisation of public climate finance at increasing levels from the fast-start finance period in line with their joint commitment to the goal of mobilising USD 100 billion per year by 2020. It also requests them to prepare biennial submissions on their updated strategies and approaches for scaling up climate finance from 2014 to 2020. The decision additionally provides for a biennial high-level ministerial dialogue on climate finance, starting in 2014 and ending in 2020.

The CMP further requested the Subsidiary Body for Implementation at its fortieth session (SBI-40) to consider the second review of the AF with a view to recommending a draft decision for consideration and adoption by CMP-10. The Adaptation Fund is financed from the share of proceeds on the CDM project activities and other sources of funding. The share of proceeds amounts to 2% of certified emission reductions (CERs) issued for a CDM project activity. At CMP-3 in 2007, the CMP decided to undertake a review of all matters relating to the AF every three years. The initial review

¹⁷ Decision 3/CP.19

concluded at CMP 8 (2012) and Parties requested the SBI to initiate a second review at its 38th session and report back to CMP-9, with a view to finalising the second review and recommending a draft decision for consideration and adoption at CMP-10.

Technology development and transfer

The UNFCCC commits developed country Parties to take all practical steps to promote, facilitate and finance the transfer of, or access to, environmentally sound technologies and know-how to other Parties (particularly developing country Parties), to enable them to implement the provisions of the Convention. As of COP-17, this issue has been addressed through the Technology Mechanism, which consists of the Technology Executive Committee (TEC) and the Climate Technology Centre and Network (CTCN). In Warsaw, Parties adopted the modalities and procedures of the now operational CTCN and the rules of procedure of its Advisory Board. The CTCN has started accepting requests from developing countries on matters relating to technology development and transfer (UNFCCC 2014b).

SBI-40 considered the work of the Poznan strategic programme on technology transfer as reported by the GEF. This work included the provision of technical and financial support via UNEP to 27 non-Annex I Parties to conduct or update their technology needs assessments (TNAs) and technology action plans, as well as the approval of six national pilot projects.

Parties welcomed the completion of 31 Technology Needs Assessments (TNAs) by non-Annex I Parties. They also appreciated the evolution of the TNA process to include the development of technology action plans, which prioritise technologies and recommend frameworks for overcoming barriers to the diffusion of these technologies.

The agreed draft conclusion of the SBI noted the need for Parties to enhance and follow up the TNA process by further promoting the development and implementation of economically, environmentally and socially sound project proposals. This text also appeared in the draft conclusion of the Poznan strategic programme.

Capacity building

Capacity building under the Convention refers to enhancing the ability of individuals, organisations and institutions in developing countries to identify, plan, and implement ways to mitigate and adapt to climate change (UNFCCC 2014a). In 2001, the COP adopted two frameworks that address the needs, conditions and priorities of developing countries and countries with economies in transition, contained in decisions 2/CP.7 and 3/CP.7. These provide a set of guiding principles and approaches to capacity-building, and contain a list of priority areas for action on capacity-building, including the specific needs of LDCs and SIDS. They reaffirm that capacity-building is essential to enable these countries to implement the objective of the Convention. In 2005, the CMP decided that these frameworks were also applicable to the implementation of the Kyoto Protocol.

Over the years, capacity-building activities continued to be enhanced. In Durban (2011), Parties decided to establish the Durban Forum on Capacity-building, which would meet once a year during negotiating sessions and allow for the participation of all stakeholders in the process. The SBI continued its consideration of capacity-building under the Convention at its fortieth session with a view of recommending a decision for adoption at COP-20.

The SBI continued, but did not conclude, its consideration of capacity-building under the Convention and the Kyoto Protocol. It agreed to continue its consideration of these items at SBI-41, with a view to recommending draft decisions for consideration and adoption by the COP and CMP in Lima.

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Annex I: Submission of views or information by Parties: deadlines for 2014 and beyond¹⁸

Submission	Date
<p><u>Feedback on the organization of the 2nd Dialogue and views on the agenda of the 3rd Dialogue (SBI)</u> Article 6 Dialogue (FCCC/SBI/2014/L.20, para. 2)</p>	18 February 2015
<p><u>Information on lessons learned and good practices for knowledge and research capacity-building (SBSTA)</u> Research and systematic observation (FCCC/SBSTA/2014/L.6, para. 3)</p>	25 March 2015
<p><u>Views on possible topics for consideration as part of the research dialogue (SBSTA)</u> Research and systematic observation (FCCC/SBSTA/2014/L.14, para. 4)</p>	25 March 2015
<p><u>Views on the development of early warning systems and contingency plans in relation to extreme weather events and assessment of risk and vulnerability of agricultural systems to different climate change scenarios (SBSTA)</u> Issues related to agriculture (FCCC/SBSTA/2014/L.14, para. 4)</p>	25 March 2015
<p><u>Views on identification of adaptation measures and assessment of agricultural practices and technologies to enhance productivity in a sustainable manner (SBSTA)</u> Issues related to agriculture (FCCC/SBSTA/2014/L.14, para. 5)</p>	19 March 2016
<p><u>Nationally appropriate mitigation actions by developing country Parties in the context of sustainable development, supported and enabled by technology, financing and capacity-building, in a measurable, reportable and verifiable manner (SBI)</u> Voluntary information by developing country Parties to the Conference of the Parties of their intention to implement nationally appropriate mitigation actions in association with decision 1/CP.16, paragraph 50. (Decision 1/CP.18, paragraph 16)</p>	Open call
<p><u>Actions and plans in pursuit of economic diversification that have co-benefits in the form of emission reductions, adaptation to the impacts of climate change and response measures (SBI)</u> Further information from Parties concerned and other Parties on actions and plans in pursuit of economic diversification that have co-benefits in the form of emission reductions, adaptation to the impacts of climate change and response measures. (Decision 24/CP.18, paragraph 2)</p>	Open call
<p><u>Development and transfer of technologies and implementation of the technology mechanism (SBSTA)</u> Information on nominations from Parties of their national designated entities in</p>	Open call

¹⁸ UNFCCC secretariat 'Message to Parties: Early submission of information and views', dated 12 December 2013 and UNFCCC secretariat 'Message to Parties: Early submission of information and views', dated 7 July 2014

	accordance with decisions 2/CP.17 and 14/CP.18. (FCCC/SBSTA/2013/3, paragraph 60)	
	<u>Support provided for capacity-building in developing country Parties (SBI)</u> Information from developed country Parties in a position to do so, through annual submissions, to the secretariat and other appropriate channels, on the support they have provided for capacity-building in developing country Parties. (Decision 1/CP.16, paragraph 133)	Open call
	<u>Progress made in enhancing capacity to address climate change (SBI)</u> Information from developing country Parties in a position to do so, through annual submissions to the secretariat and other appropriate channels, on progress made in enhancing capacity to address climate change, including on the use of the support received. (Decision 1/CP.16, paragraph 135)	Open call
	<u>Progress made in enhancing capacity to address climate change (SBI)</u> Information from developing country Parties in a position to do so, through annual submissions to the secretariat and other appropriate channels, on progress made in enhancing capacity to address climate change, including on the use of the support received. (Decision 1/CP.16, paragraph 135)	Open call
	<u>Further individual nationally appropriate mitigation actions seeking international support (SBI)</u> Developing country Parties to submit, as appropriate, information on further individual nationally appropriate mitigation actions seeking international support in accordance with decision 2/CP.17, paragraph 46. (Decision 16/CP.18, paragraph 3)	Open call
	<u>Other individual nationally appropriate mitigation actions (SBI)</u> Developing country Parties to submit other individual nationally appropriate mitigation actions, for their recognition, in accordance with decision 2/CP.17, paragraph 47. (Decision 16/CP.18, paragraph 4)	Open call
	<u>National adaptation plans (SBI)</u> United Nations organizations, multilateral, intergovernmental and other international and regional organizations to provide information on their activities to support the national adaptation plan process. (Decision 5/CP.17, paragraph 35)	Open call
	<u>National adaptation plans (SBI)</u> United Nations organizations, specialized agencies and other relevant organizations, as well as bilateral and multilateral agencies, to support the national adaptation plan process in the least developed country Parties and, where possible, to consider establishing or enhancing support programmes for the national adaptation plan process within their mandates, as appropriate, which could facilitate financial and technical support to the least developed country Parties, drawing upon the work of, and where appropriate in consultation with, the Least Developed Countries Expert Group, and to keep the Subsidiary Body for Implementation informed, through the secretariat, on how they have responded to this invitation. (Decision 12/CP.18, paragraph 8)	Open call