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SUA REFERÊNCIA	SUA COMUNICAÇÃO DE	NOSSA REFERÊNCIA	DATA
3185	20/10/2015		

**ASSUNTO:** Requerimento n.º 17/XIII/3.ª de 20 de outubro de 2017  
“Alterações Climáticas - posição do Governo Português para a COP23”

*Caro Nuno Araújo,*

Na sequência do ofício acima identificado e em resposta ao Requerimento n.º 17/XIII/3.ª, de 20 de outubro de 2017, formulado pela Senhora Deputada Maria Manuel Rola, do Bloco de Esquerda (BE), encarrega-me o Senhor. Ministro do Ambiente de remeter a V. Exa. a documentação solicitada, assim como a seguinte informação:

O Acordo de Paris (AP), adotado a 12 de dezembro de 2015, estabelece o objetivo de limitar o aumento da temperatura média global em 2°C acima dos níveis pré-industriais e prosseguir esforços para não exceder os 1,5°C, reconhecendo que isso reduzirá significativamente os riscos e impactos das alterações climáticas.

Neste momento está em curso a negociação do “livro de regras” de implementação, fundamental para operacionalizar e dar corpo à implementação do Acordo de Paris, e que deverá ser concluída no final de 2018, na COP24, que se realizará na Polónia. Na COP23 deverão ficar definidos os moldes do Diálogo Facilitador (*Talanoa Dialogue*) que terá lugar em 2018 e se centrará em potenciais e oportunidades para aumentar a ambição das ações domésticas/nacionais e coletivas/globais

Para efeitos do apoio à participação na COP23, foi preparada uma apresentação (que se anexa) sobre os principais objetivos a alcançar na mesma.

No quadro da Convenção Quadro das Nações Unidas para as Alterações Climáticas (CQNUAC) e do Acordo de Paris, a União Europeia (EU) fala a uma só voz, pelo que as posições de Portugal são veiculadas no seio da UE tendo em vista alcançar uma posição comum da UE e dos seus Estados Membros a ser veiculada na CQNUAC.

Este trabalho é desenvolvido, numa primeira instância, através da participação ativa de Portugal em Grupos de Peritos temáticos, coordenados pela Presidência do Conselho da UE vigente (sendo portanto rotativa a cada seis meses), como por exemplo o Grupo de Peritos em Mitigação.

O resultado destes trabalhos é posteriormente sujeito a deliberação e aprovação pelo Grupo Ambiente Internacional para as Alterações Climáticas (WPIEI/CC) do Conselho. Cabe ainda ressaltar que o mandato negocial da UE à COP23 é também ancorada em Conclusões do Conselho na sua formação Ambiente, tendo igualmente o contributo da formação Finanças no que diz respeito às mensagens relativas a financiamento (documentos em anexo).



A posição nacional que tem vindo a ser defendida vê como principal prioridade desenvolver um “livro de regras” que reflita o espírito do Acordo de Paris e estabeleça claramente as regras relativas aos diferentes elementos do AP, com especial enfoque na mitigação, no quadro para a transparência e no mecanismo de ambição como ferramentas essenciais para manter o objetivo de limitar o aumento da temperatura média global a um máximo de 2°C, sendo ambição que os esforços desenvolvidos possam vir a possibilitar limitar esse aumento a não mais de 1,5°C.

A UE apresentou um conjunto de submissões (9 ao todo, em anexo) em nome dos seus Estados Membros, os quais as discutiram e acordaram no âmbito do processo dos grupos de trabalho e Grupo Ambiente Internacional descrito anteriormente. Destacam-se:

**1) Mitigação**

Uma submissão sobre orientações em relação à secção sobre mitigação, nomeadamente sobre:

- a) características das Contribuições Nacionalmente Determinadas (NDC);
- b) informação para facilitar a clareza, transparência e compreensão das NDC;
- c) contabilização (accounting) nas NDC.

Duas submissões sobre questões relacionadas com modalidades e procedimentos para a operação e utilização do registo público previsto e sobre modalidades e procedimentos para um registo público previsto no AP.

**2) Adaptação**

Uma submissão sobre Comunicação de Adaptação (Adaptation Communication) com propostas de elementos e estrutura.

**3) Transparência e MRV (Monitorização, Reporte e Verificação)**

Uma submissão sobre o desenvolvimento de aspetos substantivos relacionados com modalidades, procedimentos e orientações para o quadro de transparência de ação e de apoio estabelecido do AP.

**4) Mecanismo de ambição (Global Stocktake) e Diálogo Facilitador 2018**

Uma submissão sobre o mecanismo de ambição (Global Stocktake - GST) com possíveis elementos de texto para identificar fontes de informação e modalidades para a organização e funcionamento do GST.

**5) Aspetos jurídicos e institucionais**

Uma submissão sobre as modalidades e procedimentos necessários para a operação efetiva do Comité para facilitar a implementação e promover o cumprimento do AP.

Com os melhores cumprimentos, *também pessoais*

A Chefe do Gabinete

Ana Cisa



Anexos: Doc. Cit.

- 1) Further guidance in relation to the mitigation section of Decision
- 2) Acordo de Paris e preparativos para as reuniões da CQNUAC
- 3) Proposals for elements and “skeleton” outlines as contained in the informal note of the APA4 agenda item
- 4) Submission on further work following APA 1.4
- 5) Information on lessons learned and good practices in relation to adaptation actions and plans that could enhance economic diversification and have mitigation co-benefits
- 6) Views on selected aspects of modalities and procedures required for the effective operation of the committee to facilitate implementation and promote compliance referred to in Article 15 para 2 of the Paris Agreement
- 7) Modalities, procedures and guidelines for the transparency framework for action and support referred to in Article 13 of the Paris Agreement
- 8) Submission on the Global Stocktake (GST) - Possible elements of textual outline for the identification of the sources of input to and development of the modalities for the GST
- 9) Views on guidance on cooperative approaches referred to in Article 6, Paragraph 2, of the Paris Agreement;
- 10) Financiamento das alterações climáticas
- 11) Information on topics such as good practices, lessons learned and available tools and methods, based on recent work in the area of human settlements and adaptation
- 12) Preparação COP 23



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## Preparação COP23



COP23 | FIJI

UN CLIMATE CHANGE CONFERENCE

BONN 2017



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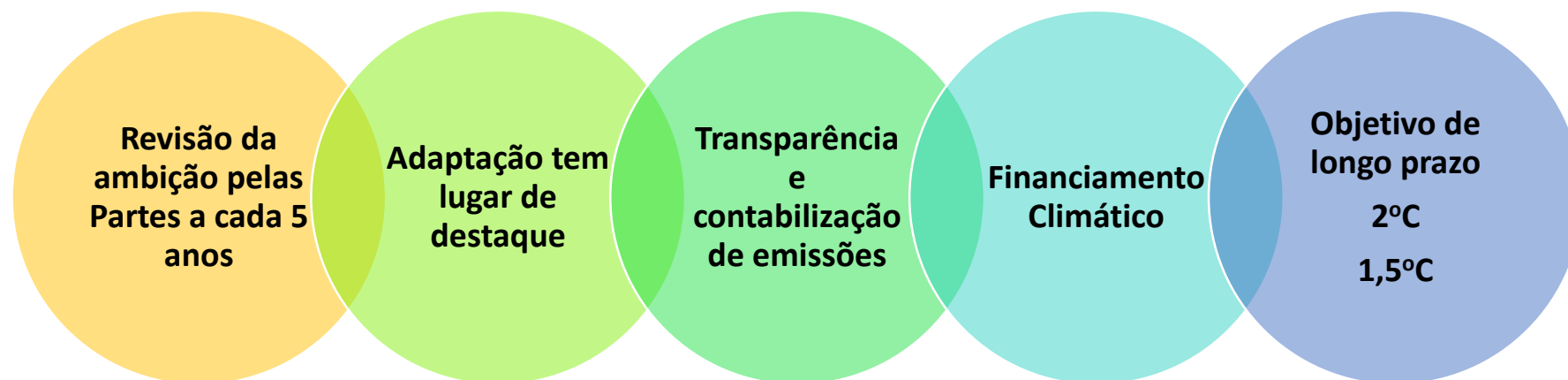
# Índice da Apresentação

1. Acordo Paris (principais elementos, ratificações)
2. Calendário negociações até 2020
3. Principais objetivos/resultados COP 23
4. Objetivos específicos: livro regras COP23
5. Talanoa Dialogue – Proposta Presidência Fiji
6. COP23: Zona Bula e Zona Bonn
7. Agendas para a COP: negociações, segmento alto-nível, GCAA
8. Presidência Fiji



# O Acordo de Paris

- Mudança de paradigma - apenas com o contributo de todos é possível vencer o desafio das alterações climáticas.
- Renova esperança no multilateralismo e salienta necessidade de descarbonização profunda da economia mundial.
- Nova arquitetura – Acordo verdadeiramente global, equilibrado, justo, ambicioso e duradouro.
- Ratificado por 169 Partes



# O Acordo de Paris - implementação



# Resultados esperados COP23

Definição do modelo  
para o Diálogo  
Facilitador 2018  
(*Talanoa Dialogue*)

Progresso substantivo  
na negociação do livro  
de regras – base sólida  
para acordo em 2018

Programa de iniciativas  
de demonstração de  
ação climática em curso  
pré-2020/GCAA

Definição de roteiro da  
Presidência para  
continuação dos  
trabalhos em 2018 para  
conclusão na COP24



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# Livro de Regras – Objetivos específicos

- Transição para estrutura/elementos de texto para proposta de Decisão a adotar em 2018 na COP24.
- Garantir progresso equilibrado em todos os temas:  
Mitigação / Adaptação / Transparência / Global stocktake / Aspectos legais / Outros temas (“orphan issues”).
- Defender notas dos facilitadores como instrumento-chave para continuar processo iterativo e capturar progressos.
- Evitar compilação de posições num texto único (evitar um processo semelhante ao verificado em 2015).



# Que Regras?

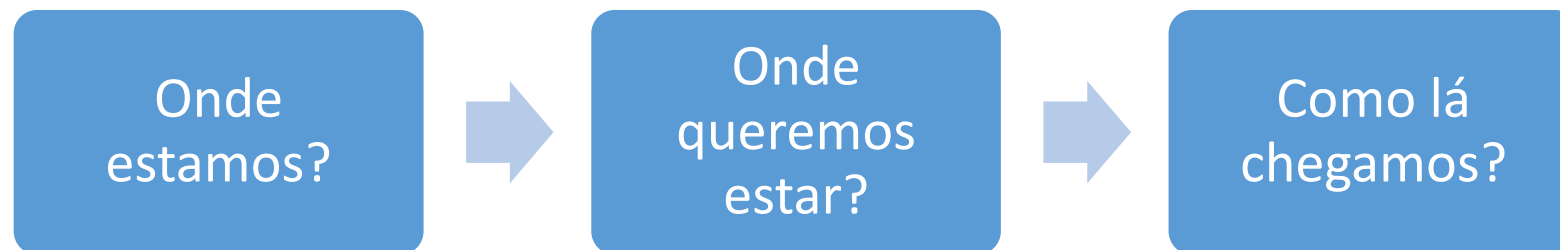
Programa de trabalhos 2016-2018 para negociar orientações e/ou regras relativas a:

- Processo para **ajuste do nível de ambição** e comunicação das sucessivas NDC – ligado ao ciclo de ambição;
- **Informação para aumentar clareza, transparência e compreensão** das NDC e definição de características específicas das NDC para mitigação;
- Consideração de um **período de compromissos** igual para todos para o pós 2030 (5 ou 10 anos);
- Modalidades e procedimentos para o **registo das NDC**;
- **Regras de contabilidade comuns** para as NDC para as emissões e remoções;
- Regras para um **sistema único de transparência** para monitorização, reporte e verificação de emissões e remoções;
- Regras de contabilidade, modalidades e procedimentos no âmbito da **utilização de mecanismos mercado**;
- Regras para utilização de **abordagens não ligadas a mecanismos de mercado** (“non-markets”) incluindo ligações e sinergias entre os vários elementos do acordo.



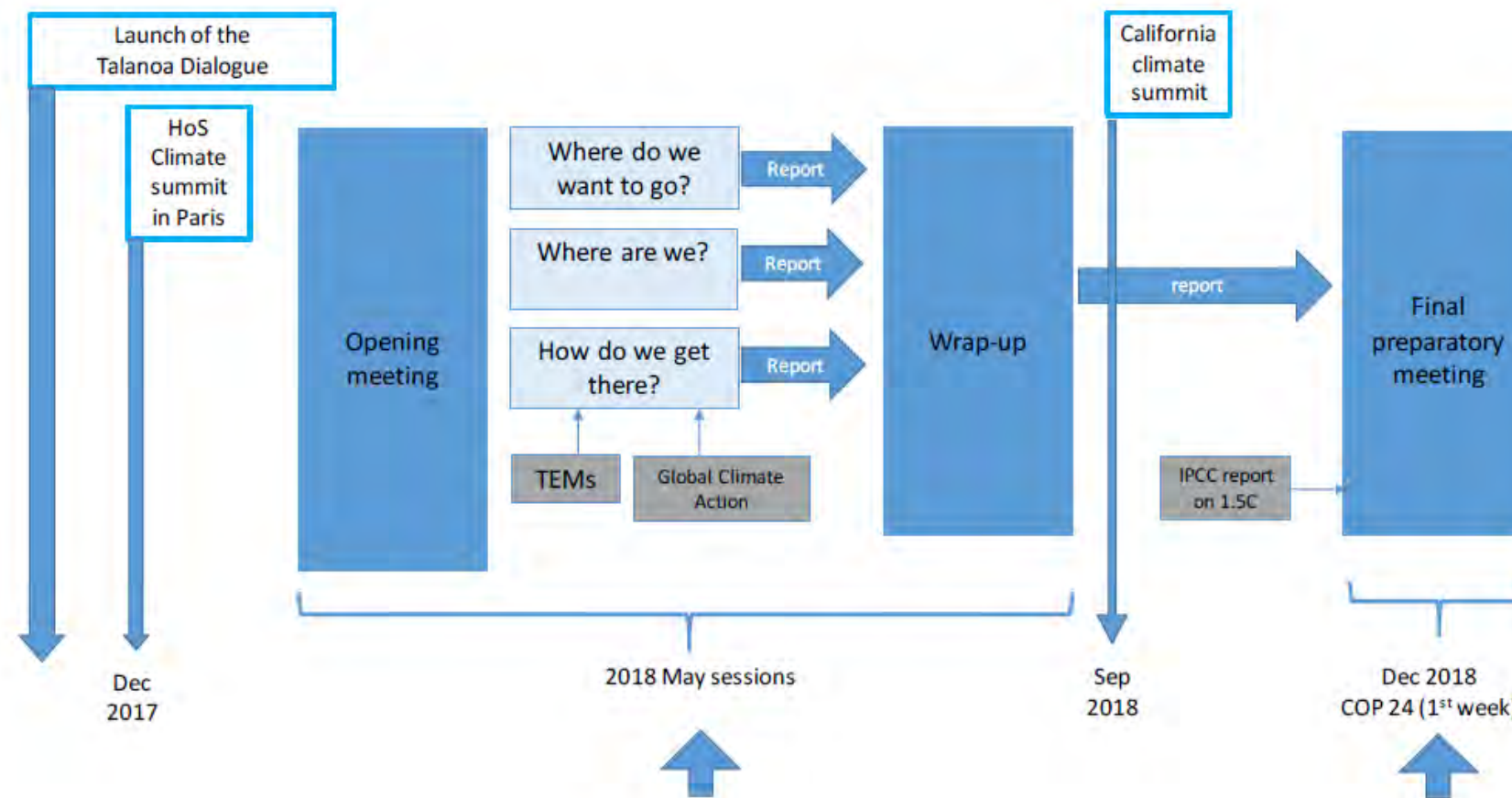
# Talanoa Dialogue – Proposta da Presidência Fiji

- Diálogo Facilitador 2018 está a assumir nova designação: *Talanoa Dialogue*
- Será conduzido no espírito de Talanoa, uma tradição do Pacífico, usada nas Fiji, que consubstancia um diálogo inclusivo, participativo e transparente.
- Deve ser construtivo, facilitativo e orientado para soluções.
- Terá três questões orientadoras:



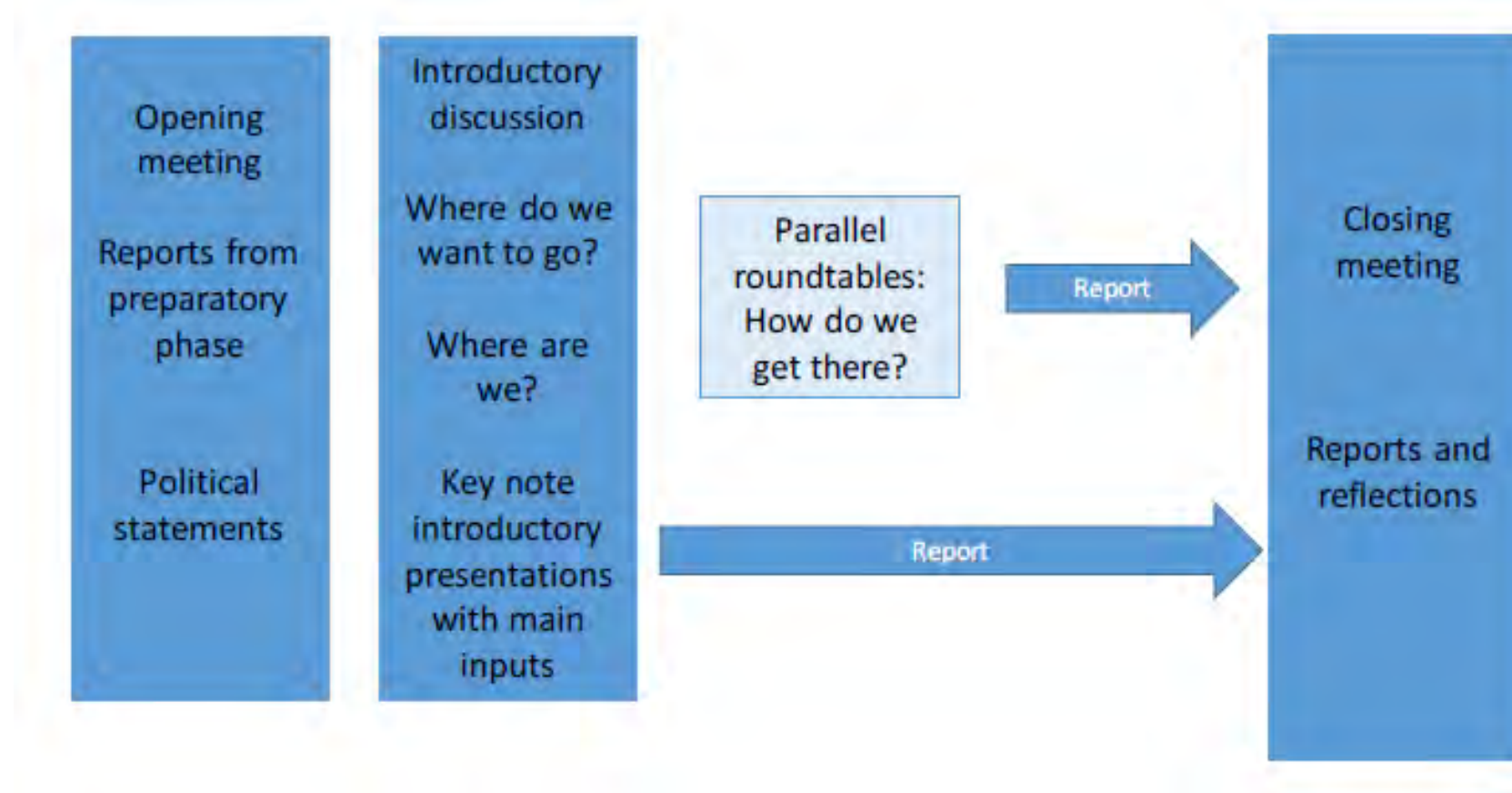
# Talanoa Dialogue – proposta da Presidência Fiji

- Fase preparatória (durante 2018, em particular na sessão de Bona em maio):



# Talanoa Dialogue – proposta da Presidência Fiji

- Fase política (na COP24, na Polónia):



# COP23: 2 zonas

**BULA Zone:** zona das negociações – salas de reuniões e plenários.

Acesso exclusivo para delegações técnicas e ministeriais.

**BONN Zone:** espaço dedicado a mostras e eventos sobre ação climática, side-events, exposições e pavilhões delegações.



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# Agenda: negociações

4 a 6  
nov

- Mesas redondas: transparência/mitigação/adaptação/global stocktake/comité facilitação e cumprimento/mecanismos, abordagens cooperativas e abordagens não-mercados. Workshop: response measures.

6 nov

- Abertura COP/CMP/CMA. Abertura SBSTA/SBI – Declarações abertura em sessão conjunta.

7 nov

- Início sessão APA e respetivas reuniões paralelas de negociação dos diferentes temas.

11 nov

- Plenário COP/CMA para fazer ponto de situação das negociações.

15-17  
nov

- Encerramento SBSTA/SBI e suspensão APA.
- Encerramento COP/CMP/APA.



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# Agenda: Segmento Alto-nível

13 a 15  
nov

- Evento de Alto-nível sobre Ação Climática (GCAA). Decorre na zona Bonn, composto por uma série de eventos temáticos a 13 e 14 nov. Temas: Financiamento/ ODS11 – Cidades/ Resiliência/ Inovação/ ODS2: Agricultura.

15 nov

- Cerimónia de abertura do Segmento de Alto-nível ao início tarde, seguida de intervenções de Chefes de Estado e Governo, SG ONU, membros de Governo em 2 plenários em paralelo.
- Encerramento Evento de Alto-nível sobre Ação Climática (GCAA) na zona Bula com apresentação por parte dos Campeões de Alto Nível dos resultados das atividades realizadas em 2017 e COP23.

16 nov

- Continuação das intervenções de Chefes de Estado e Governo, SG ONU, membros de Governo.



# Agenda: Iniciativas GCAA

## THEMATIC DAYS OVERVIEW



FRIDAY 10 NOVEMBER			SATURDAY 11 NOVEMBER			SUNDAY 12 NOVEMBER		
ENERGY	WATER	AGRICULTURE	OCEANS & COASTAL ZONES	HUMAN STLMTS.	TRANSPORT	INDUSTRY	FORESTS	LOCAL & REGIONAL LEADERS SUMMIT
								HEALTH DAY

## HIGH-LEVEL DAYS OVERVIEW

MONDAY 13 NOVEMBER	TUESDAY 14 NOVEMBER	WEDNESDAY 15 NOVEMBER
HIGH-LEVEL OPENING	RESILIENCE	
FINANCE	INNOVATION	
SDG11 & CLIMATE ACTION H-L ROUNDTABLES	SDG2 & CLIMATE ACTION H-L ROUNDTABLES	
	CLOSING (BONN ZONE)	HIGH-LEVEL CLOSING (BULA ZONE)
	GENDER DAY	

# Agenda: Iniciativas GCAA

MONDAY 13 NOVEMBER: GCA HIGH-LEVEL DAY



## FINANCE

- Mobilizing investment to support NDC implementation and increased ambition
- Unlocking investment in climate resilience
- Cascading & localizing finance: the next frontier market
- Enhancing investor actions to implement the Paris Agreement & accelerate low-carbon transition
- Monitoring financial markets on the Paris Agreement & addressing climate-related risks
- Accessing and Managing Climate Change Finance: Experiences from the Pacific and Asia Region

## SDG11

- Inclusive, holistic and vertically integrated climate action for sustainability and resilience
- Urban Energy – Transport nexus: cities as drivers of transformative action towards a low carbon future
- Towards net 0-Energy Buildings to deliver against SDGs 11, 7 and 13: A high level dialogue on how to enact the needed market transformation
- Catalyzing local climate action in waste management
- Implementing the Paris Agreement: the role of regions, cities and communities in local action for adaptation and resilience
- Multi-level governance: An opportunity for effective climate change adaptation



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# Agenda: Iniciativas GCAA

**TUESDAY 14 NOVEMBER: GCA HIGH-LEVEL DAY**



## RESILIENCE

- Why Climate Resilience Matters: Challenges and Solutions for Building Climate Resilience of people living in Small Island Developing States (SIDS) and other vulnerable countries
- Working with nature to build climate resilient and sustainable development

## INNOVATION

- TBC

## SDG2

- Addressing Climate Change for a World Free of Hunger, Malnutrition and Poverty
- Food Security and Nutrition in SIDS in a changing climate
- Multifunctional Landscapes for improved food security and nutrition
- What Will It Take To Deliver Zero Hunger, And Climate Resilient and Low Emission Food Systems?

# Presidência Fiji COP23

Presidência Ilhas Fiji - primeira vez que a Presidência cabe a um Pequeno Estado Ilha



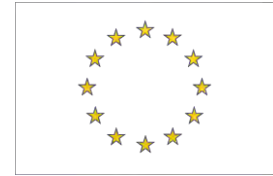
Presidente da COP: Primeiro-Ministro Frank Bainimarama



Negociadora Chefe da Presidência: Embaixadora Nazhat Shameem Khan, Representante Permanente das Fiji junto das Nações Unidas em Genebra.



Embaixador Clima: Embaixador Deo Saran, Representante Permanente das Fiji junto da UE e Enviado Especial à UNFCCC



## **SUBMISSION BY THE REPUBLIC OF ESTONIA AND THE EUROPEAN COMMISSION ON BEHALF OF THE EUROPEAN UNION AND ITS MEMBER STATES**

Tallinn, 09/10/2017

**Subject: Modalities, procedures and guidelines for the transparency framework for action and support referred to in Article 13 of the Paris Agreement**

### **Summary of key points**

- This submission provides specific operational details under the possible “headings and subheadings” of the common modalities, procedures and guidelines (MPGs) of the enhanced transparency framework for action and support, to support the further elaboration of text at COP23.
- Applying flexibility for those developing countries that need it in light of their capacities at the level of individual provisions enables the APA to elaborate common MPGs for Parties' differentiated national circumstances and differentiated contributions, thereby ensuring the fine balance from Article 13 is reflected in the MPGs. Through the concept of national determination of Parties contributions, the Agreement safeguards this diversity and operationalises the principles expressed in Article 2(2) of the Agreement. Thus it is essential that the MPGs developed under the transparency framework accommodate this diversity in order to assist all Parties in providing the necessary information to fulfil the purposes of Articles 13(5) and 13(6).
- In the MPGs, the EU has elaborated flexibility for those developing countries that need it, in light of their capacities, related to individual provisions within the scope of reporting, the frequency and the level of detail of reporting, and related to the scope and format of the review. These are in addition to provisions that are not mandatory for Parties.
- In addition, the transparency framework builds on a concept of improving capacities through but not limited to, the Capacity Building Initiative on Transparency (CBIT). Thus Parties' capacities are not enshrined, but will be developed continuously in a dynamic framework that promotes continuous improvements for all Parties.
- The outcome of APA5 should be a cover decision with separate annexes of reporting guidelines for biennial submissions, guidelines and procedures for the technical expert review and modalities and procedures for multilateral consideration to be adopted by CMA at COP24. It is important that by the end of COP23, Parties further advance with elaboration on the headings and subheadings of the MPGs. After COP23, the co-facilitators should assist Parties in reflecting the views expressed, through further iterations of the negotiation text during and in between the APA sessions.

## I. Introduction

We welcome the opportunity to submit views on the specific operational details under the possible “headings and subheadings” of the modalities, procedures and guidelines (MPGs) for the transparency framework for action and support referred to in Article 13 of the Paris Agreement contained in the annex to the informal note by the co-facilitators under APA5. The specific proposals on operational details are included in the Annex to this submission. The headings and subheadings of the Annex follow the “headings and sub-headings” as forwarded in the informal note. Nevertheless, we indicate where we propose additional headings or subheadings or where certain headings or subheadings may not be necessary. As we see room for streamlining some “headings and sub-headings” we are reserving the right to provide respective suggestions in the upcoming discussion. The main part of this submission explains and summarizes the key aspects and approaches included in the Annex.

## II. Key aspects and approaches

### 1. **Structure and design of MPGs**

The final product of the work under APA5 should be a cover decision with annexes. For future ease in updating or revision, separate annexes of reporting guidelines for biennial submissions, guidelines and procedures for the technical expert review and modalities and procedures for multilateral consideration should be elaborated. The cover decision would

- adopt the modalities, procedures and guidelines in the annexes;
- decide when Parties shall start using the reporting guidelines and establish a submission date;
- address the reporting frequency of information required in MPGs;
- request the UNFCCC secretariat to start the first reviews and first multilateral facilitative considerations at specific dates;
- address support for reporting, its aims and the link to CBIT;
- mandate the SBSTA to continue work on tabular reporting formats if such work cannot be completed by COP24;
- address future revisions of the MPGs.

### 2. **Linkages to other agenda items and topics**

Given the many interlinkages between the MPGs developed under APA5, and the other agenda items of APA or SBs, the risk of duplication of work is high. In the context of the limited amount of time to develop the MPGs before their adoption in 2018, we must reduce this risk as much as possible through the following modalities of work:

- By close coordination of APA5 co-facilitators with co-facilitators of other agenda items that may provide inputs to the MPGs (e.g. APA3, APA4, SBSTA work on matters relating to Article 6, SBSTA work on modalities for accounting of financial resources provided and mobilized) under the guidance of APA co-chairs and SB chairs, as appropriate;



- By close coordination of APA5 co-facilitators with co-facilitators of other agenda items that may rely on outputs under this agenda item (e.g. APA6, APA7);
- By a clear outline of the work schedule during sessions and workshops or round tables and the avoidance of parallel sessions when certain related items are discussed to allow participation of related experts in discussions on MPGs;
- By putting placeholders in draft MPGs where input from other agenda items is expected to directly be incorporated in the MPGs before the final adoption (the concept of placeholder would for example apply related to the outcome of the SBSTA work on 'Modalities for the accounting of financial resources provided and mobilized through public interventions in accordance with Article 9, Paragraph 7, of the Paris Agreement'; any outcome related to 'Guidance on accounting under Article 4, Paragraph 13' under APA3; potential additional information needs for tracking of progress of NDCs arising from SBSTA discussions on matters relating to Article 6).

### 3. Flexibility

As outlined in our previous submission<sup>1</sup>, the concept of "flexibility for those developing countries that need it in the light of their capacities" in accordance with Article 13, Paragraph 2 should be implemented related to individual provisions in the MPGs. Application of flexibility at the level of individual provisions in the MPGs would enable the APA to elaborate common MPGs for Parties' differentiated national circumstances and differentiated contributions, thereby ensuring the fine balance from Article 13 is reflected in the MPGs.

The diversity of NDCs represents a key strength of the Paris Agreement. Through the concept of national determination, the Agreement safeguards this diversity and operationalises the principles expressed in Article 2(2) of the Agreement. Thus it is essential that the MPGs developed under the transparency framework accommodate this diversity in order to assist all Parties in providing the necessary information to fulfil the purposes of Articles 13(5) and 13(6).

The detailed implementation of flexibility in the light of Parties' capacity will need to be expressed in the MPG text in ways that directly address the type of capacity issues that may arise from the specific provisions and recognizing Paragraph 89 of Decision 1/CP.21 listing flexibility as relating to the scope, frequency and level of detail of reporting and scope of the review.

Reporting requirements linked to a 'should' provision under Article 13, such as Paragraph 8 related to climate change impacts and adaptation under Article 7 or Paragraph 19 related to support needed and received are framed as a non-mandatory provision and therefore no further flexibilities need to be elaborated in the MPGs related to these paragraphs.

The information necessary to track progress made in implementing and achieving NDCs under Paragraph 7(b) is defined largely by the contribution determined by the Party, therefore the concept of 'applicability' is more relevant in this section of the reporting guidance than the concept of 'flexibility'. Applicability means that while some of the guidance will be common to all NDCs, some parts related to the processes of accounting or providing accompanying information will apply only to the relevant subset of NDCs.

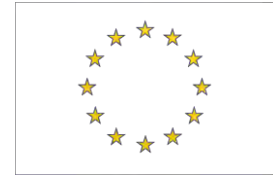
<sup>1</sup> Available at [http://www4.unfccc.int/Submissions/Lists/OSPSubmissionUpload/783\\_323\\_131324010340848514-MT-02-23-EU%20Submission%20Transparency%20APA%205%20FINAL.pdf](http://www4.unfccc.int/Submissions/Lists/OSPSubmissionUpload/783_323_131324010340848514-MT-02-23-EU%20Submission%20Transparency%20APA%205%20FINAL.pdf)

In this submission, "Flexibility for those developing countries that need it in the light of their capacities" has been implemented in the Annex to this submission inter alia in the following areas:

- Scope of reporting:
  - Completeness of reporting of source categories, gases, sectors;
  - Reporting of historic emission time series;
  - Reporting of latest inventory year;
  - Application of good practice methods and full application of 2006 IPCC guidelines;
  - Identification of key categories based on lower threshold;
  - Application of recalculation methods;
  - Implementation of quantitative uncertainty estimates;
  - Elaboration and reporting of a QA/QC plan and implementation of QA/QC procedures;
  - Reporting on projections;
  - Completeness of reporting on mitigation actions.
- Frequency of reporting
  - Biennial inventory information for developing countries, annual inventory information for developed countries;
  - Least developed countries and small island states may submit their reports less frequently than on a biennial basis, but they should strive to submit at least one report between each global stocktake.
- Level of detail in reporting
  - Level of detail of reporting on inventory methods;
  - Level of detail of the national inventory report;
  - Level of detail of reporting on projections;
  - Level of detail of tabular reporting formats for inventory data;
  - Level of detail on reporting on mitigation actions.
- Scope of the review:
  - The EU introduced a review format in form of peer reviews in regional groups of Parties which we intend as a format that may be particularly suitable for developing countries;
  - The flexibilities related to the scope of reporting automatically implies flexibilities in the scope of the review as information not reported due to the flexibility provisions cannot be reviewed;
  - In-country reviews should be optional for developing countries where capacities may not allow the organisation and hosting of an in-country review.

During the elaboration of this submission, the EU recognized that a consistent and standardized wording referring to "flexibility for those developing countries that need it in the light of their capacities" did not always fully capture the specific capacity constraints. Therefore the EU in some cases used different terminology to address flexibility as appropriate. It is also important to note that the text introduced related to flexibility has to be read together with the principle that Parties shall maintain at least the frequency and quality of reporting in accordance with their respective obligations under the Convention.





Flexibility in light of transparency on support provided and mobilised and on support needed and received is mainly based on the different provisions for country categories. Developed countries are requested to take the lead and will report fully in line with the MPGs, in a mandatory manner. Other countries providing support are encouraged to use the same MPGs on a voluntary basis, while developing countries should report in line with their capacities.

A Party that makes use of the flexibilities in the MPGs should explain in the report why it was unable to implement a certain requirement and should address in an improvement plan the steps and capacities needed to implement the related requirement. Flexibility in the light of capacities should be linked with the principle of improved reporting and transparency over time, and the EU sees improvement plans that describe capacity constraints and needs as a pragmatic instrument in the improvement of capacities over time together with support provided through CBIT and other channels.

#### 4. Overarching considerations and guiding principles

Guiding principles for the MPGs were established in Article 13 and summarized in Paragraph 92 of Decision 1/CP.21:

- (a) The importance of facilitating improved reporting and transparency over time;
- (b) The need to provide flexibility to those developing country Parties that need it in the light of their capacities;
- (c) The need to promote transparency, accuracy, completeness, consistency and comparability;
- (d) The need to avoid duplication as well as undue burden on Parties and the secretariat;
- (e) The need to ensure that double counting is avoided;
- (f) The need to ensure environmental integrity.

These principles should be referred to, should guide the overall elaboration of the common MPGs and should be implemented through detailed provisions in the common MPGs. The EU has already elaborated on these overarching considerations and guiding principles in past submissions<sup>2</sup>.

#### 5. Specific considerations

The annex to this submission presents an elaboration of the specific elements of the MPGs. In this section we elaborate on a few key concepts and in particular on new approaches that we are proposing in relation to the specific areas of the MPGs.

Whereas the MPGs shall be adopted by COP24, some operational details, such as reporting formats or reporting templates may need to be further elaborated in 2019. The annex to this submission identifies such cases where further work may be needed post 2018.

<sup>2</sup> [http://www4.unfccc.int/Submissions/Lists/OSPSubmissionUpload/75\\_281\\_131203153443541418-SK-10-07-EU%20submission%20on%20APA%205%20transparency.pdf](http://www4.unfccc.int/Submissions/Lists/OSPSubmissionUpload/75_281_131203153443541418-SK-10-07-EU%20submission%20on%20APA%205%20transparency.pdf) and [http://www4.unfccc.int/Submissions/Lists/OSPSubmissionUpload/783\\_323\\_131324010340848514-MT-02-23-EU%20Submission%20Transparency%20APA%205%20FINAL.pdf](http://www4.unfccc.int/Submissions/Lists/OSPSubmissionUpload/783_323_131324010340848514-MT-02-23-EU%20Submission%20Transparency%20APA%205%20FINAL.pdf)

### **Reporting guidelines**

Common tabular formats should be developed in order to facilitate the provision of information on GHG inventories, information describing the NDCs, accounting balance, reporting on mitigation actions, GHG projections, support provided, support needed and received. The EU envisages that tabular formats would be elaborated in a second step after the adoption of MPGs in those areas where time does not allow completion of the work on such formats by COP24.

### **Modalities and procedures for technical expert review**

New formats of review could be explored in addition to the current practice, such as regional peer reviews. Centralised reviews and regional peer reviews would be the default modalities, while desk and in-country reviews could be triggered in specific situations. The technical expert review should focus on identifying areas of improvement in Party reporting. The review process would help identify success stories and best practices. In order to ensure that the review process is conducted in an efficient and cost-effective manner, review cycles could be aligned closer to the period of implementation of NDCs. A review shall be organised for a Party at least once during the period of implementation of its each NDC, and for the report on the achievement of NDCs after the end of the target period.

### **Facilitative Multilateral Consideration of Progress (FMCP)**

FMCP could take place in parallel to the review process. Completion of the technical review should not be a prerequisite to the start of the FMCP. FMCP could be more closely linked to the period of reporting on implementation of an NDC and thus may not follow a biennial periodicity.

### **III. Closing remarks**

Given the considerable amount of work necessary for the elaboration of MPGs, it is important to follow an efficient work plan. Next steps will be:

- The preparation of an informal note by the co-facilitators reflecting the views expressed in Parties' submissions as an input to the round table discussion in November.
- The pre-session round table discussion on 4/5 November 2017 focussing on Parties' submissions and the informal note of co-facilitators.
- A further elaboration of the co-facilitators' informal note through discussions at the round table and APA5 sessions with the aim to complete the headings and subheadings of the MPGs with elements of text based on Parties' submissions by the end of COP23.
- Further elaboration in 2018 of this outcome from COP23 through discussions at APA sessions, technical workshops and additional specific inputs from Parties via submissions. Co-facilitators should assist Parties in reflecting the views expressed in further iterations of the negotiation text during and in between the APA sessions.
- Further elaboration of the mode of work in 2018 as part of the APA conclusions of COP23.
- Avoid duplication of work on financial support provided and mobilised, which is being dealt with under the SBSTA item on the development of modalities for accounting. The APA should mainly focus on reporting guidelines for support needed and received.

## Annex

Specific operational details under the possible “headings and subheadings” of the modalities, procedures and guidelines (MPGs) for the transparency framework for action and support referred to in Article 13 of the Paris Agreement are included below in the following structure:

1. *Overarching considerations and guiding principles;*
2. *National inventory report on anthropogenic emissions by sources and removals by sinks of greenhouse gases;*
3. *Information necessary to track progress made in implementing and achieving its nationally determined contribution under Article 4 of the Paris Agreement;*
4. *Information related to climate change impacts and adaptation under Article 7 of the Paris Agreement, as appropriate;*
5. *Information on financial, technology transfer and capacity-building support provided under Articles 9-11 of the Paris Agreement;*
6. *Information on financial, technology transfer and capacity-building support needed and received under Articles 9-11 of the Paris Agreement;*
7. *Technical expert review;*
8. *Facilitative, multilateral consideration of progress.*

*For text proposal for operational details regular font is used, comments or explanatory text appears in italics.*

### **1. Overarching considerations and guiding principles**

*The headings in this section refer to elements that guide the development of the MPGs but do not need to be standalone sections of the MPGs and would therefore not be elaborated as a separate section of the MPGs. We therefore highlight the appropriate considerations without going into specific details.*

*While the structure/ design of MPGs is an important consideration, we also would not see this as a heading as part of the MPGs.*

*We have elaborated this section with the purpose of clarifying further some key principles and considerations that apply to the transparency framework.*

*Decision 21/CP.22 on Gender and Climate Change encourages Parties, when reporting on their climate policies under the UNFCCC process, to include information on how they are integrating gender considerations into such policies; The same decision also requests the secretariat to prepare a technical paper identifying entry points for integrating gender considerations in workstreams under the UNFCCC process for consideration by the Subsidiary Body for Implementation at its forty-eighth session (April–May 2018). The MPGs could be such a potential entry point and the EU may come back to this issue informed by this technical paper.*

### 1.1. Objectives

- *General objectives and purposes of the transparency framework are already established in Article 13, Paragraph 5 and 6 of the Paris Agreement.*
- *Individual objectives for the respective sections of the reporting, review and FMCP guidelines are inserted in the specific section.*

### 1.2. Guiding principles

*Guiding principles for the MPGs were established in Article 13 and summarized in Paragraph 92 of Decision 1/CP.21. These should guide the work on the MPGs, but do not need to be elaborated in a separate section.*

- *Some specific principles could be nevertheless highlighted:*
  - *Parties shall maintain at least the frequency and quality of reporting in accordance with their respective obligations under the Convention.*
  - *The need to promote transparency, accuracy, completeness, consistency and comparability (TACCC).*

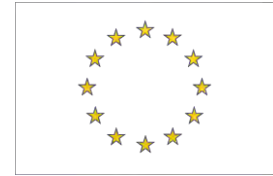
*As a common definition for the TACCC principles does not apply to all areas of the MPGs, TACCC has been further defined in this submission in relation to specific chapters.*

### 1.3. Structure/design of the MPGs

*The MPGs would be included in Annexes to a cover decision. Three separate annexes would be prepared: for reporting guidelines, for guidelines for technical expert review and for modalities and procedures for the facilitative, multilateral consideration of progress.*

### 1.4. Interlinkages with other transparency related items

- *The biennial submissions and review reports will be also essential inputs for the global stocktake. The biennial reports together with other sources of information will also provide inputs to the SCF Biennial Assessment which provides an aggregate overview of climate finance flows.*
- *The reporting under the transparency framework or reports from expert review and multilateral consultation may be used as inputs for the mechanism established under Article 15. This linkage is further elaborated in the EU's submission related to APA agenda item 7.*
- *A good coordination among working groups is necessary to guarantee consistency and to avoid duplication of work. Each element of the future MPGs can be developed regardless of the working group, as long as duplication and inconsistency is avoided. A strict equilibrium among agenda items in APA5's discussion time is not a priority as long as the balance is respected during the elaboration of the Paris rulebook as a whole.*



- *Specific interlinkages should be addressed in each relevant section of the MPGs, not further elaborated in this section.*

#### **1.5. Building on and enhancing the transparency arrangements under the Convention, recognizing that the transparency arrangements under the Convention shall form part of the experience drawn upon for the development of the MPGs**

- *This principle should guide the work on the MPGs; does not need elaboration in a separate section.*
- The transparency arrangements under the Convention, including national communications, biennial reports and biennial update reports, international assessment and review and international consultation and analysis shall form part of the experience drawn upon for the development of the modalities, procedures and guidelines for the transparency framework. The MPGs shall build upon and eventually supersede the measurement, reporting and verification system established by Decision 1/CP.16, Paragraphs 40-47 and 60-64 and Decision 2/CP.17 Paragraphs 12-62, immediately following the submission of the final biennial reports and biennial update reports.

#### **1.6. Flexibility to those developing countries that need it in the light of their capacities**

- *This is addressed in relevant sections of the MPGs; not further elaborated in this section.*
- *Application of flexibility in accordance with Art. 13(2). As capacities improve, the extent of flexibilities a country needs will reduce over time.*
- *In this submission, flexibility has been addressed through several terms, as it does not seem feasible to have a unique way to reflect flexibility.*

#### **1.7. Facilitating improved reporting and transparency over time**

- *Addressed in relevant section of the MPGs; not further elaborated in this section.*
- All Parties shall strive to improve their reporting and transparency over time. Tools for improving reporting include prioritising improvements - such as the key category analyses for GHG inventories –or identifying capacity needs. The review process would be a catalyst for facilitating improved reporting and transparency over time.

#### **1.8. Avoiding duplication as well as undue burden on Parties and the secretariat**

- *Principle should guide the work on the MPGs; does not need elaboration in a separate section.*

- Parties should not be required to report same information across several reports, and same information should not be reviewed twice.

### **1.9. Procedural aspects**

- *Elements related to submission process, procedures, timelines and formats. Some elements are being considered under the specific headings below (e.g. formats), procedural aspects such as the submission process and timelines should be part of a cover decision /decisions.*

## **2. National inventory report on anthropogenic emissions by sources and removals by sinks of greenhouse gases**

### **2.1. Objectives and principles**

#### **2.1.1. Objectives**

- This section should include the following objectives:
  - to provide a clear understanding of GHG emission levels and trends, underlying data, methodologies and good practices applied;
  - to facilitate the tracking of progress towards implementing and achieving Parties' individual NDCs;
  - to facilitate the assessment of collective progress towards achieving the purpose and long-term goal of the PA, serving as input to the global stocktake under Article 14 of the PA;
  - to promote transparency, accuracy, completeness, consistency and comparability of GHG inventories;
  - to facilitate improved reporting and transparency of GHG inventories over time and assist Parties in ensuring and improving the quality of the GHG inventory;
  - to facilitate the identification and prioritisation of domestic mitigation measures.

#### **2.1.2. Principles**

- The GHG inventory shall be transparent, consistent, comparable, complete and accurate. In this context
  - Transparency means that the data sources, assumptions and methodologies used for an inventory should be clearly explained, in order to facilitate the replication and assessment of the inventory by users of the reported information.
  - Accuracy means that emission and removal estimates should be accurate in the sense that they are systematically neither over nor under true emissions or

removals, as far as can be judged, and that uncertainties are reduced as far as practicable. Appropriate methodologies conforming to guidance on good practices should be used to promote accuracy in inventories.

- Completeness means that an annual GHG inventory covers all sources and sinks, as well as all gases, which occur in a country and for which methodologies are provided in IPCC Guidelines for the full geographic coverage of the country.
- Consistency means that an inventory should be internally consistent in all its elements over a period of years. An inventory is consistent if the same methodologies are used for the base year and all subsequent years and if consistent data sets are used to estimate emissions or removals from sources or sinks. An inventory using different methodologies for different years can be considered to be consistent if it has been estimated in a transparent manner taking into account IPCC guidance on good practice in time series consistency.
- Comparability means that estimates of emissions and removals reported by countries in inventories should be comparable among countries. For this purpose, countries should use agreed methodologies and formats for estimating and reporting inventories.

## **2.2. Definitions**

- The definitions of common terms used in GHG inventory preparation are those provided in the most recent IPCC Guidelines adopted by the CMA.

## **2.3. National circumstances and institutional arrangements**

### **2.3.1. Inventory planning, preparation and management**

- Each Party shall implement and maintain national inventory arrangements for the estimation of anthropogenic GHG emissions by sources and removals by sinks. The national inventory arrangements include all institutional, legal and procedural arrangements made within a Party for estimating anthropogenic emissions by sources and removals by sinks of all GHGs not controlled by the Montreal Protocol, and for reporting and archiving inventory information. National inventory arrangements can vary depending on national circumstances and preferences, and also change over time.
- Parties should implement the following functions relating to inventory planning, preparation and management:
  - Plan, establish and maintain the inventory preparation process including division of specific responsibilities of institutions participating in the inventory preparation to ensure that sufficient activity data collection, Choice/development of methods, EFs and other parameters is in accordance with the IPCC Guidelines;



- Emission and removal estimates are estimated and documented transparently;
- Recalculations are performed, where needed;
- Uncertainty assessment and key category analysis is performed and used in identifying needs for inventory improvements and their prioritization;
- QA/QC measures are implemented;
- A process for the inventory submission is established;
- Inventory data is archived.
- The institutional arrangement should in addition facilitate the conduct of the review of the national inventory and participation in the FMCP.
- The institutional arrangements should be described in the first national inventory report under the Paris Agreement. After an initial reporting on national inventory arrangements, subsequent reports can focus on changes since the last report.

## 2.4. Methods

### 2.4.1. Methodologies, parameters and data

- Parties shall use the 2006 IPCC Guidelines for national GHG inventories or any more recent IPCC guidelines adopted by the CMA.<sup>3</sup>
- Parties that in light of their capacities are not able to fully use 2006 IPCC guidelines or any more recent IPCC guidelines mentioned in the paragraph above shall strive to use these guidelines to the extent possible. Such Party shall explain in its NIR as to why it was unable to implement a recommended method and the capacities needed to fully apply the IPCC Guidelines. The Party should address in the improvement plan the steps and capacities needed to implement the IPCC Guidelines in future.
- In accordance with the IPCC guidelines, Parties may use different methods (tiers) included in the guidelines, giving priorities to those methods which are believed to produce the most accurate estimates, depending on national circumstances and availability of data. Parties are encouraged to use national methodologies where they consider these to be better able to reflect their national situation, provided that these methodologies are compatible with the IPCC Guidelines, scientifically-based and transparently documented.

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<sup>3</sup> In this paragraph a reference that the use of the term “IPCC Guidelines” in the subsequent text means the IPCC guidelines outlined in this paragraph.



- Parties are encouraged to use country-specific and regional emission factors and activity data for key sources, or, where these do not exist, propose plans to develop them in a scientifically sound and transparent manner.

#### **2.4.2. Key category analysis**

- Parties shall identify key categories using approach 1 in accordance with IPCC Guidelines. Parties are encouraged to also use approach 2 and to add additional key categories to the result of approach 1.

*Based on Parties' experiences with the current reporting under the Convention, the EU would be open to consider a threshold lower than 95% for the key category assessment, for developing countries that need it in the light of their capacities. This allows countries to focus improvement activities on a smaller number of categories. After capacities are developed to implement improvements for a limited number of key categories, Parties should then apply the general threshold for key categories. We foresee that the key category analysis as such can be implemented in an automated way in an electronic reporting format tool.*

- For categories that are determined to be key categories, Parties should make every effort to use a recommended method (tier level) and follow IPCC good practice guidance, in accordance with the corresponding decision trees in the IPCC Guidelines, and follow other good practice guidance relevant to key categories.
- If a Party, in the light of its capacity and national circumstances does not use a recommended method, the Party shall explain in its NIR the reason(s) as to why it was unable to implement a recommended method and the capacities needed for such implementation. If applicable, the Party should address in the improvement plan the steps and capacities needed to implement a recommended method in future.

#### **2.4.3. Recalculations and time series consistency**

- The inventory for a time series should be estimated using the same methodologies, and the underlying activity data (AD) and emission factors (EFs) should be obtained and used in a consistent manner, ensuring that changes in emission trends are not introduced as a result of changes in estimation methods or assumptions over the time series of estimates.
- Recalculations should be carried out to improve accuracy and/or completeness of the inventory and performed in accordance with IPCC Guidelines, ensuring time series consistency.
- In some cases it may not be possible to use the same methods and consistent data sets for all years of a time series, owing to a possible lack of AD, EFs or other parameters directly used in the calculation of emission estimates for some historical years. In such cases, emissions or removals may need to be recalculated using alternative methods. In these instances, Parties should use one of the techniques provided in the IPCC Guidelines to estimate the missing values.

- Parties that in the light of their capacities are not able to use one of the techniques provided in the IPCC guidelines should report for which categories this applies.
- Recalculations should be reported with explanatory information and justifications for recalculations with an indication of the relevant changes in each source or sink category where these changes have taken place. Small differences (e.g. due to annual statistical updates or due to rounding of estimates) should not be considered as recalculations.

#### **2.4.4. Uncertainty assessment**

- Parties should quantitatively estimate the uncertainty of the data used. Parties that in light of their capacities are not able to quantitatively estimate uncertainties, should elaborate in the improvement plan the steps and capacities needed to implement this requirement. Parties that quantitatively estimated uncertainties in past submissions shall continue to do so.
- The uncertainty of the data used shall be qualitatively discussed in a transparent manner in the NIR in particular for categories that were identified as key categories.

#### **2.4.5. Assessment of completeness**

- Parties should estimate and report emissions and removals from categories for which estimation methods are included in the IPCC Guidelines.
- Parties shall clearly indicate the categories of emissions by sources and removals by sinks which are not considered in their inventories, and explain the reasons for such exclusion. Where methodological or data gaps in inventories exist, information on these gaps shall be presented in a transparent manner using notation keys as defined in IPCC Guidelines.
- Parties shall indicate the parts of their geographical area, if any, not covered by their inventory and explain the reasons for their exclusion.
- A Party may consider that a disproportionate amount of effort would be required to collect data for a gas from a specific category that would be insignificant in terms of the overall level and trend in national emissions and in such cases use would not estimate the emissions. The Party should provide justifications for exclusion in terms of the likely level of emissions. An emission should only be considered insignificant if the likely level of emissions is below 0.05 per cent of the national total GHG emissions, and does not exceed 500 kt CO<sub>2</sub> eq. The total national aggregate of estimated emissions for all gases and categories considered insignificant shall remain below 0.1 per cent of the national total GHG emissions. Parties should use approximated AD and default IPCC EFs to derive a likely level of emissions for the respective category.

*To add flexibility for Parties that need it in the light of their capacities, the EU would be open to consider a different threshold of significance which would need further analysis and discussion related to appropriate values.*

- A Party that in the light of its capacities is not able to estimate emissions and removals for all significant source or sink categories for which estimation methods are included in the IPCC Guidelines shall report which categories could not be estimated and explain the reason(s) as to why it was not able to estimate these categories. The Party should address in the improvement plan the steps and capacities needed to estimate such categories in future.
- Once emissions and removals from a specific category have been reported in a previous GHG inventory submission, emissions and removals from this specific category shall be reported in subsequent GHG inventory submissions if they continue to occur.

#### **2.4.6. Quality assurance/quality control**

- Each Party shall elaborate an inventory quality assurance/quality control (QA/QC) plan and implement general inventory QC procedures in accordance with its QA/QC plan following the IPCC Guidelines.
- Parties should apply category-specific QC procedures for key categories and for those individual categories in which significant methodological changes and/or data revisions have occurred, in accordance with the IPCC Guidelines. Parties should implement QA procedures by conducting a basic expert peer review of their inventories in accordance with the IPCC Guidelines.
- Parties shall report on their QA/QC plan and give information on QA/QC procedures implemented.
- A Party that in the light of its capacities is not able to elaborate, implement or report a QA/QC plan and give information on QA/QC procedures implemented shall explain the reason(s) as to why it was not able to do so. The Party should address in the improvement plan the steps and capacities needed to elaborate, implement or report a QA/QC plan or QA/QC procedures.
- Parties that estimated CO<sub>2</sub> emissions from the reference and the sectoral approach in the energy sector, should compare their national estimates of CO<sub>2</sub> emissions from fuel combustion with those estimates obtained using the IPCC reference approach, as contained in the IPCC Guidelines, and report the results of this comparison.

#### **2.5. Metrics**

- Parties shall report aggregate emissions and removals of GHGs, expressed in CO<sub>2</sub> equivalent (CO<sub>2</sub> eq), using the global warming potential values as agreed by the CMA.



- From 2022 until a decision is adopted by the CMA, the GWP values used to calculate the carbon dioxide equivalence of anthropogenic emissions by sources and removals by sinks of GHG shall be those listed in the Fourth Assessment Report of the IPCC, based on the effects of greenhouse gases over a 100-year time horizon, as contained in annex X (*annex X would be similar to Annex III of Decision 24/CP.19 and is not included in this submission*).
- The electronic reporting format shall include gases in metric tonnes and the calculation of carbon dioxide equivalence of anthropogenic emissions by sources and removals by sinks for the aggregation of GHG information.

## 2.6. Reporting guidance

### 2.6.1. Information on methods

- Parties shall report descriptions, references and sources of information of the specific methodologies, assumptions, emission factors and activity data, including an indication of the level of complexity (IPCC tiers) applied and a description of any national methodology used.
- A Party that in the light of its capacities is not able to report this information for all emission and removal categories shall at least report this information for key categories and document any country-specific emission factors used in tabular formats.
- For key categories, an explanation should be provided if the recommended methods from the appropriate decision tree in the IPCC guidelines are not used. The improvement plan should address planned improvements for such cases.

### 2.6.2. Sectors and gases

- As a minimum requirement, inventories shall contain information on carbon dioxide (CO<sub>2</sub>), methane (CH<sub>4</sub>), and nitrous oxide (N<sub>2</sub>O). In addition Parties shall estimate all gases and chemical species in the GHG inventory that are included in the scope of their NDC. Parties that estimated perfluorocarbons (PFCs), hydrofluorocarbons (HFCs), sulphur hexafluoride (SF<sub>6</sub>) and nitrogen trifluoride (NF<sub>3</sub>) in past submissions shall continue to estimate these gases in line with IPCC guidelines. Parties shall also estimate PFCs, HFCs, SF<sub>6</sub> or NF<sub>3</sub> if fluorinated gases present significant contributions to their total GHG emissions.
- Parties are encouraged to provide information on the following precursor gases: carbon monoxide (CO), nitrogen oxides (NOX) and non-methane volatile organic compounds (NMVOCs), as well as sulphur oxides (SOX). Parties that estimated these gases in past submissions shall continue to estimate these gases.

- Parties may report indirect CO<sub>2</sub> from the atmospheric oxidation of CH<sub>4</sub>, CO and NMVOCs. For Parties that decide to report indirect CO<sub>2</sub> the national totals shall be presented with and without indirect CO<sub>2</sub>. Parties may report as a memo item indirect N<sub>2</sub>O emissions from other than the agriculture and LULUCF sources. These estimates of indirect N<sub>2</sub>O should not be included in national totals.
- Parties may report additional greenhouse gases and substances if relevant under their national circumstances and shall report additional greenhouse gases and substances if those are included in their NDC.
- GHG emissions and removals shall be presented on a gas-by-gas basis in units of mass, with emissions by sources listed separately from removals by sinks, except in cases where it may be technically impossible to separate information on sources and sinks in the area of LULUCF.
- For HFCs and PFCs, emissions should be reported for each relevant chemical in the category on a disaggregated basis, except in cases where the protection of confidential data does not allow such presentation.
- In accordance with the IPCC Guidelines, international aviation and marine bunker fuel emissions should not be included in national totals but should be reported separately. Parties should also report emissions from international aviation and marine bunker fuels as two separate entries.
- Parties should clearly indicate how feedstocks and non-energy use of fuels have been accounted for in the inventory, under the energy or industrial processes sector, in accordance with the IPCC Guidelines.
- Emissions and removals should be reported at the most disaggregated level of each source/sink category, taking into account that a minimum level of aggregation may be required to protect confidential business and military information.
- In accordance with the IPCC Guidelines, in the case of LULUCF categories, all pools should be included. A Party may choose not to report a given pool if transparent and verifiable information is provided that the pool is not a source. If a Party does not include a pool, it should explain why it has been excluded.

### **2.6.3. Time series**

- Parties shall report consistent time series of GHG emissions and removals for individual years. The starting year of the time series shall be consistent with any base year established as part of a Party's NDC, or at least starting from the reporting year 2020. Parties that reported consistent time series of GHG emissions starting from 1990 or other base years in past submissions, shall continue to report such time series, but may report more than 10 years back since the last reported year in 5-year intervals.

- The most recent year of such time series shall be the year X-2, where X is the reporting year. If data is not available for the year X-2 at the time of reporting, Parties shall strive to report for the year X-3.

#### **2.6.4. Frequency**

- Parties shall report national inventory reports together with their biennial submission under Paragraph 90 of Decision 1/CP.21. In accordance with the provision that Parties shall at least maintain the frequency and quality of reporting in accordance with their respective obligations under the Convention, developed country Parties shall continue to report annual GHG inventories.

*The frequency of reporting should be addressed as part of the cover decision accompanying the MPGs.*

#### **2.6.5. Constraints and capacity-building needs**

*The EU would expect reporting requirements related to constraints and capacity-building needs to be reported in the parts of the MPGs addressing Article 13, Paragraph 10 on support needed.*

#### **2.6.6. Improvement plans**

- Parties shall prepare an improvement plan outlining, inter alia and where applicable:
  - Planned improvements related to the completeness of the GHG inventory;
  - Planned improvements in the use of methodologies (tier level);
  - Planned improvements of activity data collection;
  - Planned improvements of emission factors;
  - Planned improvement in the key category analysis and uncertainty estimation;
  - Planned improvements related to the inventory management and functions, including;
  - QA/QC procedures, where applicable.
- A Party that in the light of its capacities was not able to implement specific requirements, should address in the improvement plan the steps and capacities needed to for such implementation.
- The improvement plans should include a description of timelines, and if applicable funding needs for these planned improvements.
- In preparing the improvement plans, Parties should take into account findings from any review process of GHG inventories, as appropriate.
- A summary of planned improvements should be included in the NIR.

- Parties are encouraged to periodically update the improvement plan to reflect the ongoing progress. Improvement plans are expected to become less extensive and detailed as reporting and transparency improve over time.

#### **2.6.7. Submission process, and reporting formats and tables**

- The national inventory report (NIR) shall be accompanied by an electronic reporting format for the quantitative information (CRF tables) adopted by the CMA.
- The NIR shall include:
  - Information on the national inventory arrangements and changes to the national inventory arrangements;
  - Updated information regarding descriptions, references and sources of information for the specific methodologies, including higher-tier methods and models, assumptions, EFs and AD. A Party that in the light of its capacities is not able to report this information for all emission and removal categories shall at least report this information for key categories and document any country-specific emission factors used in tabular formats;
  - For key categories, an explanation if the recommended methods from the appropriate decision tree in the 2006 IPCC Guidelines are not used;
  - Information on how and where feedstocks and non-energy use of fuels have been reported in the inventory;
  - Assessment of completeness, including information and explanations in relation to categories not estimated or included elsewhere, and information related to the geographical scope;
  - Information on uncertainties;
  - Information on any recalculations relating to previously submitted inventory data;
  - Information on how the Party has responded to the recommendations from the review process;
  - Information on important planned improvements.
- A Party that in the light of its capacities is not able to report certain areas of the information outlined above, shall explain the reason(s) as to why it was not able to report such information.
- The level of detail provided by Parties related to the elements outlined for the national inventory report will reflect Parties' capacities for reporting.
- Parties should gather and archive all relevant inventory information for each year of the reported inventory time series.

### **3. Information necessary to track progress made in implementing and achieving its nationally determined contribution under Article 4 of the Paris Agreement**

#### **3.1. Objectives and principles**

##### **3.1.1. Objectives**

- Assist Parties in tracking progress made in implementing and achieving NDCs.
- Provide information on the progress with and achievement of NDCs for the CMA and the global stocktake.
- In accordance with Article 4, Paragraph 13, in tracking progress made in implementing and achieving NDCs, Parties shall promote environmental integrity, transparency, accuracy, completeness, comparability and consistency, and ensure the avoidance of double counting, in accordance with guidance adopted by the CMA.

##### **3.1.2. Principles**

- In relation to tracking progress with NDCs
  - Transparency means that all elements relevant for tracking of progress and methodologies used should be clearly explained.
  - Accuracy means that the aggregation and summation of individual elements that reflect the overall progress is correct.
  - Completeness means that progress is tracked for the full scope of the NDC.
  - Consistency means that the methodologies used to establish reference level(s) or base year/periods are consistent with the methodologies used in the period of tracking progress of the implementation and achieving the NDCs.

#### **3.2. National circumstances and institutional arrangements**

- Each Party should describe relevant national circumstances related to the implementation and achievement of its NDC and the tracking of progress.
- Each Party should describe the institutional arrangements established for the implementation and achievement of its NDC and the tracking of progress, including institutional, legal, administrative and procedural arrangements used for domestic compliance, monitoring, reporting, archiving of information and evaluation of the progress towards its NDC.
- To avoid undue burden, Parties should only report on changes in institutional arrangements after the first report describing those arrangements.



### **3.3. Description of a Party's NDC under Article 4, including updates**

- Each Party shall describe the elements of its NDC relevant for the tracking of progress, including the following information, if applicable:

#### **3.3.1. Description of the target(s)**

- Information on type of mitigation contribution;
- If applicable, the quantified mitigation contribution in absolute or relative terms in accordance with the NDC;
- If applicable, parameters and their values used to define the mitigation contribution, for the base and target year(s), including information on related data sources and methodologies as relevant (e.g. emissions, GDP, population, policy metric, etc.);
- If the NDC includes achieving carbon / emission neutrality information explaining the Party's definition of carbon or emission neutrality.

#### **3.3.2. Quantified information on the reference level (including base year) or period**

- Reference level(s) and/or base year/period;
- Information whether the reference level(s) and/or base year/period remain fixed during the target period or will be subject to change. If these will be subject to changes, the reasons for changes envisaged as well as the timing of such changes shall be explained;
- Quantified information related to reference level(s) emissions and removals, including explanations on any recalculations implemented.

#### **3.3.3. Time frames and/or periods for implementation**

- Target year(s) and target period, taking into account relevant decisions under Art. 4(10);
- In case of absolute emission reduction or limitation targets, indicate whether this is a single year target or multi-year emission trajectory or emission budget.

#### **3.3.4. Scope and coverage of mitigation commitments**

- Sectors, categories, pools, gases covered as well as definitions used, explaining how the indicated sectors and categories are defined with respect to inventory reporting sectors and categories;
- Global warming potential values as used for the determination of the NDC;

- Approach to account for emissions and removals from the land use, land-use change and forestry (LULUCF) sector, taking into consideration any relevant decisions adopted by the CMA;
- Use of voluntary cooperation under Article 6 in achieving its emission reduction target, taking into consideration any relevant decisions adopted by the COP.

### **3.3.5. Information on any adjustments in accordance with Art. 4(11)**

- Information on any adjustment of the NDC with a view to enhancing its level of ambition in accordance with Article 4, Paragraph 11 and the relevant parameters of this adjustment for the tracking of implementation and achievement of the NDC.

### **3.3.6. Information on any changes or additional decisions taken on NDC since submission and ratification**

- Any additional clarification of parameters relevant to the implementation and achievement of progress arising from decisions taken by the Party after the submission of the NDC.

## **3.4. Progress made in implementing its NDC under Article 4 to date**

- Parties shall report the following information, if applicable to the NDC determined by the Party:
  - Relevant indicators determined by the Party to track progress and their quantified values to track progress made in implementing the NDC for the relevant reporting period.
  - An accounting balance as a structured summary of all relevant quantified components that were determined as being part of the NDC for the relevant reporting period for each year of the target period in accordance with any templates for such accounting balance agreed by the CMA:
    - Time series of total net GHG emissions and removals in line with the scope and period of the NDC;
    - quantified reference level(s) and/or base year(s)/period;
    - relevant quantified information used for the NDC of the Party for the base year until the most recent year (e.g. GDP, population, quantified indicators for mitigation actions or mitigation co-benefits);
    - contributions and / or adjustments for each year of the target period in accordance with relevant guidance adopted under Article 6;
    - contributions from the LULUCF sector for each year of the target period if such contributions are not yet reflected in the total GHG emissions and removals above;

- any additional quantified parameters for each year of the target period arising from the NDC as determined by the Party relevant for the implementation of progress.

*The concept of accounting balance is meant to provide a structure that reflects the diversity of NDCs in the tracking of progress and provides transparent information at the same time. It is meant to provide a summary of the key quantitative information for those Parties with quantified NDCs.*

- Information related to methodological consistency between emission/removal data for the base year/ period or reference level(s) and the emission/ removal data used in the accounting balance and on any recalculations made to achieve methodological consistency.
- If the NDC includes quantified mitigation actions an estimate of the impact of the implemented mitigation actions on the emission and removals and underlying assumptions.
- If the NDC includes mitigation actions information on progress with implementation of mitigation actions *which can be cross-referenced with section 3.6 (mitigation policies and measures)* and any indicators chosen by the Party to monitor progress with mitigation actions.
- Explanatory information related to the contributions from the land-use sector to achieving the NDC and a description of the accounting approaches used, if the accounting approach differs from the approach chosen for other sectors or categories.
- Information on the use and the implementation of cooperative approaches under Article 6 in accordance with guidance adopted under Article 6.
- Information on mitigation co-benefits resulting from the Parties' adaptation actions and/or economic diversification plans under Article 4, Paragraph 7.

### **3.5. Progress made in achievement of the Party's NDC under Article 4 for the target year/period**

*This section would only be included in the biennial submission following the end of the target year/ period of an NDC and data is reported for the completed NDC target.*

- Parties shall report the following information, if applicable to the NDC determined by the Party:
  - Relevant indicators determined by the Party that show the progress made in achieving the Party's NDC for the target year or target period.
  - A final accounting balance as a structured summary of all relevant quantified components that were determined as being part of the NDC for the target year or target period in accordance with any templates for such accounting balance agreed by the CMA:

- Time series of total net GHG emissions and removals in line with the scope and period of the NDC;
  - quantified reference level(s) and/or base year(s)/period;
  - relevant quantified indicators used for the NDC of the Party for the base year until the most recent year (e.g. GDP, population, quantified indicators for mitigation actions or mitigation co-benefits);
  - contributions and/or adjustments for each year of the target period in accordance with relevant guidance adopted under Article 6;
  - contributions from the LULUCF sector for each year of the target period if such contributions are not yet reflected in the total GHG emissions and removals above;
  - any additional quantified parameters for each year of the target period arising from the NDC as determined by the Party relevant for the implementation of progress.
- If the NDC includes a peak in GHG emissions and/or removals, marking the point in time with highest level of GHG emissions for the Party, the Party shall continue to provide information after the specified peaking year indicating the current level of GHG emissions and/or removals relative to the peaking year or period.
  - If the NDC includes quantified mitigation actions an estimate of the impact of the implemented mitigation actions on the emission and removals at the end of the target year or period and underlying assumptions and whether the objectives of the actions were achieved.
  - If the NDC includes quantified mitigation co-benefits resulting from the Parties' adaptation actions and/or economic diversification plans under Article 4, Paragraph 7, an estimate of the impact of the quantified mitigation co-benefits at the end of the target year or period and underlying assumptions.

### **3.6. Mitigation policies and measures, actions, and plans, and other actions with mitigation co-benefits, related to the implementation and achievement of an NDC under Article 4, including effects (historical and expected), barriers and costs**

- Each Party shall provide updated information on its mitigation actions, including on the policies and measures it has implemented or plans to implement to achieve its NDC.
- Parties should describe the way in which progress with mitigation actions is monitored and evaluated over time, including a description of institutional arrangements for the domestic measurement, reporting and verification arrangements for mitigation policies.

- To the extent possible, Parties shall organize the reporting of mitigation actions by sector (energy, industrial processes and product use, agriculture, LULUCF, waste, other sectors) also indicating the gases addressed.
- To the extent possible, Parties shall include the following information for each mitigation action or group of actions, if applicable:
  - Name of mitigation action and brief description;
  - Coverage: Sector(s) and GHG(s);
  - Objective and/ or activity affected and steps taken or envisaged to achieve the action;
  - Type of instrument or nature of the action;
  - Information on progress with implementation or status of implementation;
  - Start year of implementation;
  - Implementing entity or entities;
  - Estimate of expected quantified mitigation impact (for a particular year, not cumulative, in kt CO<sub>2</sub> eq) and related time horizon;
  - Estimate of quantified results achieved and related period or years.
- If available and applicable, Parties are encouraged to include the following information for each mitigation action or group of actions:
  - Information on costs of policy or measure. Such information should be accompanied by a brief definition of the term 'cost' in this context;
  - Information on non-GHG mitigation benefits. Such benefits may include, for example, reduced emissions of other pollutants, health benefits or adaptation;
  - Information on how the mitigation action interacts with other actions and development priorities at national level;
  - Support received related to the mitigation action and related period or years;
  - Support needs related to the mitigation action;
  - Gaps, constraints or barriers related to the implementation.

*The latter elements (support received, support needs and gaps/ constraints) may also be included in the related other sections of the MPGs and the EU is open to discuss the most appropriate placement.*

### **3.7. Summary of greenhouse gas emissions (GHG) and removals**

*The EU sees the inventory information as key information already captured in the sections on progress made with implementation and achievement of targets (see above). In addition GHG emissions and removals are part of the NIR under Article 13, Paragraph 7(a).*

*Therefore we do not see the need for an additional summary of GHG emissions and removals.*

### **3.8. Projections of GHG emissions and removals, as applicable**

- To the extent capacities permit, each Party shall report updated projections of GHG emissions and removals, including a 'with measures' projections and may report a 'without measures' projection and a 'with additional measures' projection. Parties that reported GHG projections in past submissions shall continue to report updated projections. Parties whose NDC is based on a projected scenario should report updated projections consistent with the type of scenario used for the NDC.
- A 'with measures' projection shall encompass currently implemented and adopted policies and measures. If provided, a 'with additional measures' projection also encompasses planned policies and measures. If provided, a 'without measures' projection excludes all policies and measures implemented, adopted or planned after the year chosen as the starting point for that projection. If Parties refer to a 'Business as Usual' or 'baseline' scenario in their reporting, they should explain the nature of that projection and whether and which policies and measures are taken into account.
- Parties may report a sensitivity analysis for any of the projections, but should aim to limit the number of scenarios presented. Parties may provide the results of a sensitivity analysis for the reported GHG emissions together with a brief explanation of the methodologies and parameters used.
- Emission projections shall be presented relative to actual inventory data for the preceding years. To the extent capacities permit, projections shall be presented on a sectoral basis, on a gas-by-gas basis for the following gases: CO<sub>2</sub>, CH<sub>4</sub>, N<sub>2</sub>O, PFCs, HFCs, SF<sub>6</sub>, NF<sub>3</sub> (treating PFCs and HFCs collectively in each case). Parties should include projections on a quantitative basis, starting from a recent inventory year and for subsequent years that end in either a zero or a five, extending at least 15 years from the most recent inventory year.
- Parties should provide information on models or approaches used and on sensitivity analysis performed on projections. Parties should also report information about key underlying assumptions and variables used in their projections.
- Information on Parties' accounting under Article 4, Paragraphs 13 and 14.

*Placeholder to insert information requirements resulting from accounting guidance developed under Article 4(13). This text is not expected to be developed as part of the work under APA5.*

### **3.9. Information related to Article 6, as applicable**

*Placeholder to insert any information requirements resulting from the application of accounting guidance or reporting requirements developed under Article 6. This text is not expected to be developed as part of the work under APA5.*

### **3.10. Other information, where applicable and appropriate**

*For the time being, the EU does not foresee any reporting requirements on other information.*

### **3.11. Capacity-building needs**

*The EU would expect reporting requirements related to capacity building needs to be reported in the parts of the MPGs addressing Article 13, Paragraph 10 on support needed.*

### **3.12. Improvement plan**

- The biennial submission should summarize the planned and implemented improvements related to the reporting on tracking of progress, in particular those improvements that address recommendations of the review process.

### **3.13. Reporting format**

- Tabular reporting formats should be agreed for:
  - Information describing the NDCs;
  - Accounting balance;
  - Reporting on mitigation actions;
  - GHG projections.

## **4. Information related to climate change impacts and adaptation under Article 7 of the Paris Agreement, as appropriate**

### **4.1. Objectives and principles**

- Facilitate learning by sharing evidence and good practice;
- Inform the review on the overall progress towards the global goal on adaptation;
- Recognize adaptation efforts of Parties;
- Inform future decisions under UNFCCC (with a view to enhancing implementation and providing recommendations for strengthening and improving effectiveness and efficiency of the adaptation framework);

- Enhancing the implementation of adaptation and catalysing further action.

*Not all information requirements listed in sections 4.2-4.6 and 4.8-4.10 below may need to be updated on a biennial frequency, reporting could therefore be limited to changes or updates of information available to Parties to avoid repetition of information and reporting burden. To be further discussed also in light of the relationship with the adaptation communication. Other parts of the information listed below may not apply or be available in all countries. This is not specifically addressed in the sections below due to the fact that the reporting under Article 13, Paragraph 8 is generally a 'should' provision.*

#### **4.2. National circumstances and institutional arrangements**

- Institutional arrangements and governance systems to manage adaptation, including on vertical and horizontal coordination, generation and dissemination of data and information to decision makers and stakeholders;
- Legal, regulatory and institutional framework enabling adaptation-related processes (including inter alia planning, decision-making, consultation, participation, implementing, monitoring, evaluation, reporting).

#### **4.3. Vulnerabilities, risks and impacts, and methodologies used**

- Information on climate scenarios, key climate hazards (observed and expected, including scale and time frames), observed and expected climate impacts;
- Assessment of (existing and expected) risks, impacts and vulnerabilities and adaptive capacity, including the description of methodologies used for the assessment, including the associated uncertainty.

#### **4.4. Adaptation policies, strategies, plans and actions and efforts to mainstream adaptation into national policies and strategies**

- Adaptation and development objectives and priorities;
- Policies, strategies, main programmes and lines of actions and plans in place / planning process(es) to be undertaken to enable progress towards objectives, including a description of methodologies used for their selection;
- Arrangements in place to ensure co-ordination and adjustment of priorities and activities in the light of experience, noting stakeholder involvement and feedback, both across sectors and levels of governance, including civil society and the private sector, as relevant;
- Information on integration of adaptation-related planning in government wide planning mechanisms and processes;
- Co-benefits of adaptation for other areas of sustainable development;
- Information on e.g. plans, priorities, actions, programmes, strategies from the private sector, if available.



#### **4.5. Information related to loss and damage**

*Article 13, Paragraph 8 does not address information on loss and damage as being part of the reporting under Article 13. Therefore this section goes beyond the scope of Art. 13(8) and is not necessary.*

#### **4.6. Adaptation priorities, barriers, costs and needs**

- Domestic and international, public and private, resources invested in adaptation (international/national/sub-national, sectoral as available), including sources of data;
- Financial instruments and/or budget provisions enabling implementation of adaptation action, including domestic, international and private finance mobilization;
- Adaptation related technology development and transfer measures and activities, support provided, needed and received;
- Adaptation related capacity building provided, received and needed.

#### **4.7. Progress on implementation of adaptation**

- Description of co-ordination action undertaken;
- Description of activities carried out under adaptation plans, with assessment of effectiveness and /or plans for evaluation;
- Progress on introduction of or changes in regulation, policies and planning;
- Progress on adaptation action and programmes;
- Progress on mainstreaming/integrating adaptation into overall development strategies and sectoral plans and programmes.

#### **4.8. Monitoring and evaluation of adaptation actions and processes**

- Mechanisms in place or under development to track adaptation action and outcomes (including scope, purpose, and indicators used, if appropriate);
- Systems in place or under development to measure and track national, international and private finance for adaptation;
- Good practice and (negative) lessons learned from policy and regulatory changes, practical action or co-ordination mechanisms, including remaining challenges, and plans to address them.

#### **4.9. Cooperation, good practices, experiences, and lessons learned**

- Information on regional and international cooperation to strengthen adaptation action (sharing of experiences and approaches as well as joint action to address shared challenges).

#### **4.10. Effectiveness and sustainability of adaptation action**

- Information resulting from monitoring and evaluation of adaptation actions, including on effectiveness of implemented actions, and results in increased resilience/ reduced vulnerability/ enhanced adaptive capacity from action undertaken.

#### **4.11. Recognition of adaptation efforts**

*Recognition of efforts is the purpose of why Parties are reporting. No separate section necessary.*

#### **4.12. Reporting formats**

*No need for tabular format to be developed for this section.*

### **5. Information on financial, technology transfer and capacity-building support provided under Articles 9-11 of the Paris Agreement**

#### **5.1. Objectives and principles**

##### **5.1.1. Objectives**

- Provide clarity on support provided by individual Parties in the context of climate change actions under Articles 4, 7, 9, 10 and 11 of the Paris Agreement to the CMA.
- Assist Parties in the transparent reporting on support provided and mobilised through public interventions.
- Provide information that contributes to the extent possible to a full overview of aggregate financial support provided, to inform the global stocktake.

##### **5.1.2. Principles**

- Transparency means that the methodologies, processes and procedures to estimate financing should be clearly explained and that the sources of information are identified to facilitate the checking of information.
- Completeness means that a report should cover all relevant sources, instruments, and uses of funds (types and locations of projects). It refers to finance provided by governments and the private sector.
- Consistency means that a report should be internally consistent with reports of other years. A report is consistent if the same methodologies are used for all years.

#### **5.2. National circumstances and institutional arrangements**

- Each developed country Party shall provide a description of its national approach for tracking of the provision of financial, technological and capacity-building support to

developing country Parties, if appropriate. If this information was already reported in previous reports, the biennial submission should only report changes to this information.

- Each other Party that provides support to developing country Parties should provide such a description.

#### **5.2.1. Plans and strategies**

*No separate section on plans and strategies needed.*

### **5.3. Underlying assumptions, definitions, and methodologies for financial, technology transfer and capacity-building support provided to developing country Parties under Articles 9-11 of the Paris Agreement**

*Placeholder to reflect results of elaboration under SBSTA item on accounting modalities for financial resources.*

- Provide information on definitions or methodologies used for reporting information, including the following reporting parameters: “climate-specific” or “core/general”, “status”, “funding source”, “activity”, “financial instrument”, “type of support” and “sector”.
- Other Parties that provide support to developing country Parties are encouraged to provide information on support provided and mobilized in line with the paragraphs under section 5.3, with the results of elaboration under SBSTA item on Accounting modalities for financial resources.

### **5.4. Information on financial support provided and mobilized under Article 9 by developed country Parties to developing country Parties**

*Placeholder to reflect results of elaboration under SBSTA item on accounting modalities for financial resources.*

#### **5.4.1. Information on financial support provided under Article 9 by developed country Parties to developing country Parties**

*Placeholder to reflect results of elaboration under SBSTA item on accounting modalities for financial resources.*

- Provide information on allocation channels and annual contributions for two calendar years, including, the following:
  - GEF, LDCF, SCCF, AF, GCF;
  - Other multilateral climate change funds;
  - Multilateral financial institutions, including regional development banks;



- Specialized United Nations bodies;
- Contributions through bilateral, regional and other channels.
- This information should include the following:
  - The amount of financial resources (original currency and its equivalent in USD/EUR);
  - Type of support (mitigation, adaptation, cross-cutting);
  - Source of funding (ODA, OOF);
  - Financial instrument (grant, concessional loan, loan, etc.);
  - Sector (on the basis of the OECD sector classification system);
  - Status (committed or disbursed);
  - Recipient.

#### **5.4.2. Information on financial support mobilized under Article 9 by developed country Parties to developing country Parties**

*Placeholder to reflect results of elaboration under SBSTA item on accounting modalities for financial resources.*

#### **5.5. Information on financial support provided and mobilized under Article 9 by other Parties that provide support to developing country Parties, on a voluntary basis**

##### **5.5.1. Information on financial support provided under Article 9 by other Parties that provide support to developing country Parties, on a voluntary basis**

- Other Parties that provide support to developing country Parties should provide information on the support provided in line with the paragraphs x (sections 5.3 to 5.4] above.

##### **5.5.2. Information on financial support mobilized under Article 9 by other Parties that provide support to developing country Parties, on a voluntary basis**

- Other Parties that mobilize support to developing country Parties are encouraged to provide information on the support provided in line with the paragraphs x (section 5.4.2] above.

#### **5.6. Information on technology development and transfer support provided under Article 10 by developed country Parties to developing country Parties**

- Each developed country Party shall provide information on measures taken to promote, facilitate and finance the transfer of, access to and the deployment of climate-friendly technologies for the benefit of developing country Parties, and for the support of the development and enhancement of endogenous capacities and technologies of developing country Parties. Parties may also provide information on success and failure stories.
- Each developed country Party shall provide, in textual and tabular formats, information on measures and activities related to technology transfer implemented or planned since its last biennial submission. In reporting such measures and activities, Parties shall, to the extent possible, provide information on the recipient country, the target area of mitigation or adaptation, the sector involved and the sources of technology transfer from the public or private sectors, and shall distinguish between activities undertaken by the public and private sectors.

#### **5.7. Information on technology development and transfer support provided under Article 10 by other Parties that provide support to developing country Parties, on a voluntary basis**

- Other Parties that provide support to developing country Parties should provide information on technology development and transfer in line with the section 5.6, paragraphs x to z above.

#### **5.8. Information on capacity-building support provided under Article 11 by developed country Parties to developing country Parties**

- Each developed country Party shall provide information, to the extent possible, on how it has provided capacity-building support that responds to the existing and emerging capacity building needs identified by developing country Parties in the areas of mitigation, adaptation, and technology development and transfer. Information should be reported in a textual and tabular format as a description of individual measures and activities.

#### **5.9. Information on capacity-building support provided under Article 11 by other Parties that provide support to developing country Parties, on a voluntary basis**

- Other Parties that provide support to developing country Parties should provide information on technology development and transfer in line with the paragraphs x to z above.

## 5.10. Reporting format

*Placeholder to reflect results of elaboration under SBSTA item on accounting modalities for financial resources. Tabular format to be prepared for provision of financial support unless already a result of the SBSTA item on accounting modalities.*

*Tabular formats to be prepared also for provision of TT and CB support.*

## 6. Information on financial, technology transfer and capacity-building support needed and received under Articles 9-11 of the Paris Agreement

### 6.1. Objectives and principles

#### 6.1.1. Objectives

- Provide clarity on support received by individual Parties in the context of climate change actions under Articles 4, 7, 9, 10 and 11 of the Paris Agreement to the CMA.
- Deliver information to provide, to the extent possible, a full overview of aggregate financial support provided, to inform the global stocktake.
- Assist Parties in the transparent reporting on support needed and received.

#### 6.1.2. Principles

- Transparency means that the methodologies, processes and procedures to estimate support needed and received should be clearly explained and that the sources of information are identified.
- Completeness means that a report should cover all relevant sources and instruments of support received.
- Consistency means that a report should be internally consistent with reports of other years. A report is consistent if the same methodologies are used for all years. Under certain circumstances a report using different methodologies for different years can be considered to be consistent if it has been recalculated in a transparent manner.

### 6.2. National circumstances and institutional arrangements

- A description of the national approach for tracking of the provision of financial, technological and capacity-building support, if appropriate. If this information was already reported in previous reports, the biennial submission should only report changes to this information.

#### 6.2.1. Priorities and country-driven strategies

*No separate section on priorities and country-driven strategies needed.*

### **6.3. Underlying assumptions, definitions and methodologies related to tracking and reporting mitigation and adaptation support**

- Information on assumptions, definitions and methodologies related to tracking and reporting mitigation and adaptation support;

### **6.4. Information on financial support needed by developing country Parties under Article 9**

- Information on financial, technology transfer and capacity building support needed for activities relating to climate change, including for the preparation of the biennial submission.
- Information on proposed and/or implemented activities for overcoming the gaps and constraints, associated with the implementation of activities, measures and programmes envisaged under the Convention.
- Information on financial resources and technical support provided by own resources.

### **6.5. Information on financial support received by developing country Parties under Article 9**

- Information on financial, technology transfer and capacity building support received from multilateral institutions, as applicable, such as:
  - The Global Environment Facility, CBIT, the Least Developed Countries Fund, the Special Climate Change Fund, the Adaptation Fund, the Green Climate Fund;
  - Other multilateral climate change funds;
  - Multilateral financial institutions, including regional development banks;
  - Specialized United Nations bodies
- Information on support received through bilateral and regional channels.
- To the extent possible and if applicable, Parties should indicate for the multilateral, bilateral and regional support received:
  - the projects or activities for which support was received;
  - the amounts of support received;
  - the years or periods to which the quantitative information applies;
  - the donor countries for bilateral support;
  - the type of support (mitigation, adaptation or cross-cutting);
  - the financial instrument (grant, loan, guarantees etc);
  - whether the amounts reported are disbursed or committed;

- co-contributions from domestic sources to the reported projects or activities.

#### **6.6. Information on technology development and transfer support needed by developing country Parties under Article 10**

- Information on country-specific technology needs, based on Technology Needs Assessments, where applicable.

#### **6.7. Information on technology development and transfer support received by developing country Parties under Article 10**

- Information on technology development and transfer support received and, as appropriate, how the Party has used this support in support of the development and enhancement of endogenous capacities, technologies and know-how.
- Information on key success and failure projects.

#### **6.8. Information on capacity-building support needed by developing country Parties under Article 11**

- Information on country-specific capacity building support needs.
- Constraints and capacity-building needs in relation to the preparation of the GHG inventory.
- Constraints and capacity-building needs in relation to tracking of progress with NDCs.

#### **6.9. Information on capacity-building support received by developing country Parties under Article 11**

- Information on capacity building received.
- Information on how capacity building activities are being implemented at national and, where appropriate, at subregional and/or regional levels. this could include inter alia options and priorities for capacity building, participation in and promotion of cooperation, the involvement of stakeholders in capacity building, coordination and sustainability of capacity building activities, and the dissemination and sharing of information on capacity-building activities.
- Information on key success projects.

#### **6.10. Information on support received by developing country Parties for the implementation of Article 13**

- Information on support received from the Global Environment Facility, the CBIT, developed countries, or other sources for the preparation of the biennial submissions.



#### **6.11. Information on support received by developing country Parties for the building of transparency-related capacity**

- Information on support received from the Global Environment Facility, the CBIT, developed countries, or other sources for the building of transparency-related capacity.
- Parties are encouraged to report information separately related to the preparation of GHG inventories, tracking progress with the NDCs, implementation of adaptation action and reporting on support received.

#### **6.12. Reporting format**

- Tabular formats for reporting on financial, support needed and financial support received.
- Tabular formats for other types of support needed and received.

### **7. Technical expert review**

#### **7.1. Objectives, functions and purposes**

- To promote the provision of transparent, consistent, comparable, complete and accurate information by Parties.
- To assist Parties in improving their reporting of information under Article 13.
- To ensure that the CMA and relevant bodies and mechanisms have accurate, consistent and relevant information in order to assess the implementation of the Paris Agreement.
- To assist with identification of capacity building needs for those developing countries that need it in light of their capacities.
- The review shall:
  - Consider the Party's implementation and achievement of its nationally determined contribution;
  - Consist of a consideration of the Party's support provided, as relevant;
  - Assess the consistency of the information with the provisions of these modalities, procedures and guidelines under Article 13, in particular related to the transparency, completeness, consistency and accuracy of the reported information;
  - Assist Parties in the improvement of their reporting by identifying areas of improvements for the Party under review;
  - If applicable, assist Parties with identifying capacity-building needs;
  - Assist in identifying best practice examples for the implementation and

achievement of NDCs and related mitigation actions.

## 7.2. Principles

- Non-confrontational, non-intrusive, non-punitive, respectful of national sovereignty, open and transparent.
- The same information submitted by a Party will be reviewed only once by an expert review team.
- Participating experts shall serve in their personal capacity.
- Participating experts shall not disclose any confidential information presented to them during the review.
- Participating experts shall refrain from making any political judgement.
- The appropriateness of a Party's NDC is not within the scope of the review.

## 7.3. Scope

- These procedures and guidelines apply to the technical expert review of the information submitted by Parties under Article 13, Paragraphs 7 and 9.
- For each Party the technical expert review shall consider the GHG inventory information, and the information on the implementation and achievement of its NDC. The technical expert review shall also consider information on support provided, where such information is included in a country's report.

## 7.4. Information to be reviewed

- Technical expert review will be performed on the information submitted under Article 13, Paragraphs 7 and 9 as part of biennial submission.
- Information submitted under Article 13, Paragraph 7 (GHG inventories and information to track progress with NDCs): *more detailed elaboration depends on elaboration of reporting guidelines and is not further detailed in this submission.*
- Information submitted under Article 13, Paragraph 9 (information on support provided under Articles 9, 10 and 11): *more detailed elaboration depends on elaboration of reporting guidelines and is not further detailed in this submission.*
- Application of flexibility in line with Para 89 of 1/CP.21 - *The flexibilities related to the scope of reporting would imply flexibilities in the scope of the review as information not reported due to the flexibility provisions cannot be reviewed.*
- Parties may indicate that information or data requested by the technical expert review is confidential. In such a case the Party, upon receipt of assurance that the data will be maintained as confidential by the TER should submit the confidential data in accordance with domestic law and in a manner that allows the ERT access to sufficient information or data for the assessment of the review tasks. Any confidential

information or data submitted by a Party shall be maintained as confidential by the TER.

- The UNFCCC secretariat shall prepare agreements of confidentiality with individual members of the review teams.

## **7.5. Format and steps, including those related to specific types of information reported under Article 13, and the role of Parties, and the roles and responsibilities of the technical expert review team and the secretariat**

### **7.5.1 Formats**

- The following operational approaches may be used for the technical expert review:
  - Centralized reviews (in line with current procedures);
  - Peer reviews in regional groups of Parties:

*In the view of the EU a new format of peer reviews in regional groups should be introduced with the aim to allow for more regional exchange and capacity building through the regional experts participating in the expert review. We would like to discuss such format further with other Parties. Such format may also be able to reduce travel costs and ensure that sufficient experts with relevant language capacities are participating. An application of flexibility as reflected in Para 89 of 1/CP.21 could be that peer reviews in regional groups of Parties would be a format that may particularly suitable for developing countries. In this format experts from Parties in a region would review each other. The Expert review team would also include experts outside the region.*

- Other formats of reviews:
  - desk reviews (in line with current procedures): Priority for those Parties where the previous review identified no or very few substantial reporting issues and no or very few areas for improvement;
  - in-country reviews, (in line with current procedures) for those Parties where the previous review identified substantial number of issues with the reporting and substantial areas for improvements, not already addressed through improvement plans and for those Parties that wish to be reviewed in-country.
- Any type of review needs to be agreed with the Party concerned.
- In a biennial reporting cycle, only a limited number [10] of in-country reviews will be performed.
- In-country reviews would be optional for developing country Parties in light of their capacities, as many developing countries might not be able to organise and host in-country reviews.



### **7.5.2. Steps:**

- Reviews would be conducted by expert review teams, coordinated by secretariat.

*Further elaboration of stepwise procedures and timelines at a more advanced stage of the MPGs.*

### **7.5.3. Role of Parties**

- Parties shall fully participate in the review process, by e.g. responding to questions from the ERTs, commenting and agreeing on the draft reports.

### **7.5.4. Roles and responsibilities of technical expert teams**

- A Party's submission would be assigned to an ERT which is responsible for performing the review thereof in accordance with the procedures and timelines in the MPGs.
- Two successive reviews of a Party's submission cannot be performed by the same ERT.
- The ERT shall prepare review reports under their collective responsibility.
- Participating experts shall serve in a personal capacity.

### **7.5.5. Role of the UNFCCC secretariat**

- Shall organize the reviews, including the preparation of a schedule for the review, the coordination of the practical arrangements concerning the review and the provision of all relevant reported information to the ERT concerned.
- Shall develop review tools and materials and templates for review reports under the guidance of the lead reviewers.
- Shall coordinate the ERTs.
- Shall coordinate, together with the lead reviewers, the communication during the review between the ERT concerned and the Party under review and shall maintain a record of communications between ERTs and Parties.
- Shall together with the lead reviewers, compile and edit the final review reports.
- Shall design and implement training activities for review experts, including lead reviewers, and the subsequent assessment of the experts' qualifications.
- Shall facilitate biennial meetings of the lead reviewers.
- Shall prepare a biennial report to the SBSTA on the conduct of the review including, including the selection of experts for the review teams and the lead reviewers, and on the actions taken to ensure the implementation of these procedures and guidelines.

## 7.6. Composition of the technical expert review team

- The ERTs shall be composed of experts selected from the UNFCCC roster of experts and shall include lead reviewers. The ERTs formed to carry out the tasks under the provisions of these guidelines may vary in size and composition, taking into account the national circumstances of the Party under review, the format of the review, the number of reports and the different needs for expertise for each review task.
- Experts shall be nominated by Parties to the Paris Agreement to the UNFCCC roster of experts and, as appropriate, by intergovernmental organizations.
- Participating experts shall have recognized competence in the areas to be reviewed in accordance with these guidelines.
- The UNFCCC secretariat shall organize training for the experts and subsequent assessment after the completion of the training, to ensure the necessary competence of the experts for their participation in ERTs.
- Experts reviewing a Party's submission shall neither be nationals of the Party under review, nor participated in preparing the reports of the Party under review, nor be nominated or funded by that Party.
- Participating experts from Parties from developing countries and Parties with economies in transition shall be funded according to the existing procedures for participation in UNFCCC activities. Experts from other Parties shall be funded by their governments
- The secretariat shall select the members of the ERTs in such a way that the collective skills and competencies of the ERTs address the areas under review and with a view to achieving a balance between experts from developed and developing country Parties in the overall composition of the ERTs.
- The secretariat shall ensure that in any ERT one co-lead reviewer shall be from a developed and one from a developing country Party.
- Lead reviewers:
  - should ensure that the reviews in which they participate are performed by each ERT according to these review guidelines and procedures and consistently across Parties;
  - should also ensure the quality and objectivity and the facilitative, non-confrontational nature of the review of the technical expert review;
  - collectively prepare a biennial report to the SBSTA, containing suggestions on how to improve the quality, efficiency and consistency of the reviews.

## 7.7. Frequency and timing

*The organization of the expert reviews for a large number of submissions under the Paris Agreement requires some changes in the organization of the reviews to increase timeliness and efficiency. The proposal below assumes that the first biennial submissions are reviewed for all Parties and that the frequency of subsequent reviews could depend on the relevance of the emissions, the quality of the reports and whether*

*countries are LDCs. It may not be necessary to review each submission of all Parties. Additional considerations for frequency of reviews may arise from discussions related to the use of cooperative approaches under Article 6.*

- A review shall be organised for a Party at least once during the period of implementation of each NDC and for the report on the achievement of NDCs after the end of the target period.
- The first biennial submission shall be reviewed. The organization of subsequent reviews could follow different criteria or approaches:
  - A subsequent review of a biennial submission shall only take place after a Party had at least one year available to implement improvements based on the recommendations received;
  - The frequency of the subsequent reviews should take into account that some Parties are very small contributors to global emissions;
  - The frequency of subsequent reviews should take into account the quality of the reported information and the improvements already achieved, in particular in the longer term perspective it is expected that the reports improve, that less recommendations of reviewers will arise which should also be reflected by the frequency of reviews.
- The participation of LDCs in the TER shall be upon their discretion, but they are strongly encouraged to participate in the TER at least once during the implementation of their NDC.
- A Party can request for its submission to be reviewed.

## **7.8. Technical expert review report**

### **7.8.1. Structure and elements of a technical expert review report;**

In line with current practices; the review reports should be short and concise.

The review reports will facilitate the work of the compliance mechanism and feed the global stocktake.

## **8. Facilitative, multilateral consideration of progress**

### **8.1. Objectives, functions and purposes**

- Consideration of respective implementation and achievement of the Party's nationally determined contribution.
- Consideration of efforts under Article 9.

## 8.2. Principles

- Facilitative, non-confrontational, non-intrusive, non-punitive, respectful of national sovereignty, open and transparent.

## 8.3. Scope

- Emissions and removals related to the NDC.
- Assumptions, conditions and methodologies related to the attainment of the NDC, including participation in voluntary cooperation under Art. 6.
- Progress towards the implementation and achievement of the NDC.
- Financial support provided and mobilised through public interventions to developing country Parties.

## 8.4. Information to be considered

- The facilitative multilateral consideration of progress (FMCP) will be carried out for each Party on the basis of the information in the biennial submission and any additional information provided by the Party for the purpose of the multilateral consideration. If available, reports of technical expert reviews should also be considered.

## 8.5. Format and steps, including events to be convened, the roles of Parties and the secretariat

- The FMCP shall entail the following steps:
  - Phase 1: Any Party and accredited observer may submit electronically through the secretariat written questions to the Party concerned in advance of the international assessment; the Party under FMCP would answer these questions within a given timeframe;
  - The secretariat will compile the questions and answers and publish them on the UNFCCC website prior to the FMCP session;
  - Phase 2: The FMCP session consists of an oral presentation by the Party which present the relevant information, followed by oral questions by Parties and responses by the Party under review;
  - The Party is also encouraged to provide written answers after the oral presentation if not all information could be provided during the oral session.

## 8.6. Frequency and timing

- The FMCP takes place either during sessions of the SBI, or in form of a virtual online conference with open access. It should be completed for a Party at least once during



its NDC implementation, on the basis of the information contained in the most recent biennial submission and for the report that informs on the achievement of an NDC.

- FMCP starts [4] months after the submission [deadline] of the Party's biennial submission. Parties and observers would have [1] month to prepare written questions. The Party under assessment would have [2] months to submit its written answers.

#### **8.7. Summary report content and format**

- The presentations of Parties shall be published on the UNFCCC website as well as the record of the questions and answers.
- The UNFCCC should also regularly present the main outcomes of the FMCP during sessions of the SBI.





**SUBMISSION BY THE REPUBLIC OF ESTONIA AND THE EUROPEAN COMMISSION  
ON BEHALF OF THE EUROPEAN UNION AND ITS MEMBER STATES**

Tallinn, 09/10/2017

**Subject: Views on selected aspects of modalities and procedures required for the effective operation of the committee to facilitate implementation and promote compliance referred to in Article 15 para 2 of the Paris Agreement**

**Summary of key points**

- The modalities and procedures of the Article 15 mechanism need to be developed with particular attention to and take into account the relationship between the mechanism and other areas of the Paris Agreement work.
- Transparency and the facilitation of implementation and promotion of compliance can be seen as complementary tools to achieve a similar goal.
- A discussion on the differences between various potential outputs open to the Committee is welcomed.
- The Article 15 mechanism will be equally applicable to all Parties, and the Committee shall pay particular attention to the respective national capabilities and circumstances of each Party as it addresses specific cases.
- It is important to finalise all the decisions at COP24 that are necessary to ensure that the Article 15 Committee is operational.

## I. Introduction

1. At the APA 1-3 meeting in Bonn in May 2017, the APA co-chairs invited Parties to make focused submissions as proposed in the annex to the co-facilitators' informal note on agenda item 7, guided by the following questions:
  - (a) How can potential linkages to other arrangements under the PA be designed to ensure that the Committee operates effectively while still preserving the independence of these arrangements?
  - (b) What kind of outputs of the Committee's activity would effectively facilitate implementation and promote compliance, and how?
  - (c) How would the consideration of national capabilities and circumstances of Parties be operationalized in the modalities for the operation of the Art 15 Committee?
2. This submission reflects the EU's and its Member States' view on overarching aspects of the Article 15 mechanism as well as on the guiding questions.

## II. Overarching aspects on the modalities and procedures of the Article 15 mechanism

3. Following our submission of 21 March 2017 and the exchange at the Bonn session of APA 1-3 in May 2017, we reiterate that, while we can learn from the design of processes under other international agreements, the Article 15 mechanism needs to be tailor-made to address the specific nature of the Paris Agreement.
4. The operation of the mechanism must respect and cannot change the nature, content or legal character of the Agreement's provisions.
5. The Article 15 mechanism supports Parties in the implementation of and compliance with the provisions of the Paris Agreement. We see this as a continuum of to be performed by a single Committee.
6. The modalities and procedures operationalizing Article 15 should add value to and complement the roles of other Paris Agreement bodies and procedures that support Parties to implement the Agreement.
7. With this in mind, the **modalities and procedures of the Article 15 mechanism need to be developed with particular attention to the mechanism's relationships with other elements of the Paris Agreement**. Similarly, the developments under the Article 15 negotiations could inform the discussions on the design of the other related elements.
8. The further development of specific aspects of the modalities and procedures of the Article 15 mechanism must keep in mind the facilitative, transparent, non-adversarial and non-punitive nature of the mechanism as agreed by the Parties.



9. All elements considered for the modalities and procedures of the Article 15 mechanism in the following sections are suggested having regard to Article 15.2 of the Agreement which provides that the Committee shall be expert based in nature, and paragraph 102 of decision 1/CP.21, as to the **size and composition of the committee** which shall comprise “12 members with recognized competence in relevant scientific, technical, socioeconomic or legal fields”.

### III. Design of potential linkages to other arrangements under the Paris Agreement

10. The purpose of the Article 15 mechanism is to facilitate implementation of and promote compliance with the provisions of the Agreement. To avoid duplication of work, and to clarify the additional value of the mechanism, its modalities and procedures need to specify relationships to other arrangements under the Paris Agreement and ensure an effective mode of work between the different elements.
11. Relationships to other elements of the Paris Agreement can be seen particularly in:
  - a. **potential referrals from other Paris Agreement bodies or procedures to the Article 15 mechanism;** and
  - b. **the use of outputs of the Article 15 mechanism by other such bodies or procedures.**
12. With regard to referrals to the Committee, experience from other Multilateral Environmental Agreements shows that the inclusion of referrals other than a Party "self-referral" would further facilitate implementation of and promote compliance with the provisions of the Agreement.
13. Any referrals from other Paris Agreement bodies or procedures to the **Article 15 mechanism should be developed in close coordination with the design of elements being negotiated under other relevant parts of the Paris work programme, and also be reflected in those elements' design.**
14. The work on draft modalities and procedures of the Article 15 mechanism should allow for the later **inclusion of additional specific elements, once these elements have been sufficiently developed under other agenda items.**
15. As we underlined in our previous submission, we consider that transparency (MRV) appears to serve the same general purpose as facilitation of implementation and promotion of compliance, that being:(i) to help Parties to fully implement the Agreement and to reach its objectives;(ii) to ensure Parties are implementing the Agreement in a transparent manner; and (iii) to encourage Parties' ownership of and accountability for their contributions while building trust by providing help and assistance when needed. **Conceptually, transparency and the facilitation of implementation and promotion of compliance can be seen as complementary tools to achieve a similar goal.**

16. For example, the Article 15 mechanism could complement the role of the technical expert review under Article 13 of the Paris Agreement in circumstances where a Party has not provided the information required under that Article. While the Secretariat would prepare a status report for the technical expert review that would record the non-submission by a Party, it would not include an explanation or a discussion about when and how to remedy this behavior. Additional examples for referrals to the Article 15 mechanism from the transparency mechanism could be in the cases of:
    - a. the lack of response by a Party that is being invited for a review by the technical experts;
    - b. the lack of response by a Party during a review by the technical experts;
    - c. the lack of response by a Party to the Secretariat's actions within the technical expert review; and
    - d. the lack of appearance by a Party at the facilitative multilateral consideration after such consideration has been scheduled for it.
  17. In these cases, the Article 15 Committee could then engage the Party concerned to better understand the reason for the delay and how the Party intends to remedy the situation. This exchange could aim at the **provision by the Party of a statement of reasons for the lack of information, at setting a timeline for the Party to provide the information, and at an action plan to promote compliance by the Party in the future**. The Article 15 Committee should also be able to follow up with the Party concerned on each of these measures. In line with the nature of the mechanism, a Party could also seek advice from the Article 15 Committee on the facilitation of its implementation via self-referral before the deadline for the submission of information.
  18. Another relationship between Article 15 mechanism to other elements of the Paris Agreement could be the **use of outputs of the Article 15 Committee** by other bodies and procedures.
  19. Depending on the content of outputs agreed for the modalities and procedures of the Article 15 Committee (see section IV below), the Global Stocktake as set out in Article 14 of the Paris Agreement could draw from information provided by outputs of the Committee. For instance, the Committee's reports, mandated under Article 15.3 of the Paris Agreement could provide an input to the Global Stocktake.
- IV. Potential outputs of the Committee's activity to effectively facilitate implementation and promote compliance
20. The EU and its Member States see a **range of outputs** that would allow the Article 15 Committee to facilitate implementation and promote compliance. Since all potential outputs of the Committee must be non-punitive and non-adversarial, there is no need to distinguish between outputs that facilitate implementation or promote

compliance: We rather see the **range of outputs as a continuum** that allows the Committee a degree of discretion to determine – in consultation with the Party concerned – the appropriate approach for the issue and the Party concerned.

21. Due to the facilitative and non-punitive nature of the mechanism, the Article 15 Committee should always seek clarification and understanding of the challenges Parties face, and work with the Party concerned to address these issues.
22. To determine the appropriate approach, the Article 15 Committee should include in its considerations:
  - a. the effectiveness of different available outputs, and
  - b. the application of cumulative outputs, to be applied sequentially or in parallel.
23. Appropriate **outputs** by the Article 15 Committee could include the following types of actions:
  - a. **Advice**, informing the Party concerned on a matter brought to the Committee's attention (via self referral or otherwise);
  - b. **Provision of information and guidance**, referring the Party concerned to other relevant mechanisms, without any prejudice to these mechanisms' assessment of the issue at hand;
  - c. **Action Plan**, an agenda to address specific issues towards implementation and/or compliance, including a timeline and being developed in cooperation with the Party concerned;
  - d. **Encouragement of Exchange**, facilitating the engagement and exchange of the Party concerned with other Parties that were or are facing similar challenges on implementation or compliance, in order to share experience and good practice;
  - e. **Finding of (non-)compliance**, a statement by the Article 15 Committee on the non-compliance of a Party with an individual obligation.
24. We see the list of actions and outputs above as illustrative and not exhaustive. We would support discussing the differences of these and other options open to the Committee and to work towards modalities and procedures for them.

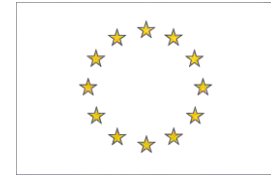
#### V. Consideration of National Capabilities and Circumstances of Parties

25. We underline our position from our submission of 21 March 2017 and the exchange at the Bonn session of APA 1-3 in May 2017: The Article 15 mechanism and its modalities and procedures, including its range of outputs, will be equally applicable to all Parties.

26. The Committee should be able to facilitate different Parties in different ways during the procedure and pay particular attention to the respective national capabilities and circumstances of each Party as it addresses specific cases. Consideration should be given to the Committee having a certain degree of **discretion** to assess situations on a case by case basis and to accommodate differing situations which may arise over time.
27. The **national capabilities and circumstances of Parties** should be taken into account in the Committee's exercise of discretion in specific cases, as specified in the modalities and procedures. This could include certain procedural obligations of Parties, such as timelines for gathering and providing information, or the assessment by the Article 15 Committee of the subject matter, including determining the appropriate output of the procedure.
28. Where, in particular circumstances, the benefits of a uniform application outweigh the need for a case by case application, this should be reflected in the modalities and procedures of the Article 15 Committee and not left to the Committee's discretion. For instance, an effective transparency framework could require uniform timelines for certain reporting requirements which could outweigh the interest in the Committee's exercising discretion on the grounds of national capabilities and circumstances.

## VI. The way forward

29. In line with our previous statements, we stress the importance of finalising all the decisions necessary to operationalize **Article 15 by COP24 (end of 2018)** to provide certainty for Parties and practitioners. They should be adopted together with other implementing rules of the Paris Agreement (as they are closely linked with many other rules). As a minimum, the modalities and procedures to be adopted at COP24 should allow for the full functioning of the Committee.
30. We are open to COP24 requesting the Committee to develop additional modalities and procedures within its mandate. We are also open to discuss the possibility of CMA giving additional tasks to the Committee in the future.
31. The EU and its Member States hope for sufficient allocation of time to continue the discussion on item 7 on the APA agenda in a conducive way and are open to further discuss technical elements of modalities and procedures, for example in the round table organised for 6 November 2017, and to any other arrangement to finalize work as indicated. In this sense the EU would support the organization of joint sessions where discussions could include item 7 on the APA agenda in connection with other relevant items, such as item 5 on the APA agenda and others.



## **SUBMISSION BY THE REPUBLIC OF ESTONIA AND THE EUROPEAN COMMISSION ON BEHALF OF THE EUROPEAN UNION AND ITS MEMBER STATES**

**This submission is supported by Albania, Bosnia and Herzegovina, the Former Yugoslav Republic of Macedonia and Serbia.**

Tallinn, 11/09/2017

**Subject: Proposals for elements and “skeleton” outlines as contained in the informal note of the APA4 agenda item**

### **I. Introduction**

1. The European Union and its Member States (EU) welcome the opportunity to submit its views on the proposals for elements and “skeleton” outlines of further guidance in relation to an adaptation communication as contained in the conclusions proposed by the APA Co-chairs<sup>1</sup> with respect to APA agenda item 4, taking into account submissions by Parties, the technical note by the Secretariat<sup>2</sup>, the subsequent discussions at the workshop, including its report<sup>3</sup>, and at the third part of the first session of the Ad Hoc Working Group on the Paris Agreement in Bonn<sup>4</sup>.
2. The EU would like to recall the previous submissions (6 October 2016<sup>5</sup> and 23 March 2017<sup>6</sup>) where we elaborated our views on further guidance in relation to the adaptation communication.

### **II. Further views on the “skeleton” including on elements for the adaptation communication**

3. Set out below are our suggestions for the "skeleton" (or structure) and elements (or content) of a CMA decision providing further guidance in relation to the adaptation communication.
4. The EU would also like to highlight, that, consistent with Article 7(10) and Article 7(11) of the Paris Agreement, the guidance adopted by the CMA will respect that Parties retain the ability to choose which "vehicle" to use for the communication. This will include the communication of adaptation-related information as a component of or in conjunction with other communications or documents, without creating additional burden for developing country Parties. Therefore we suggest recalling those provisions in the preamble section.
5. Further, we would like to stimulate that the adaptation communication also can be seen as an invitation to the private sector to showcase their adaptation measures and activities planned and undertaken to support others to adapt.

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<sup>1</sup> [http://unfccc.int/files/meetings/bonn\\_may\\_2017/in-session/application/pdf/apa2017\\_i2\\_amended\\_unedited.pdf](http://unfccc.int/files/meetings/bonn_may_2017/in-session/application/pdf/apa2017_i2_amended_unedited.pdf)

<sup>2</sup> Information related to possible elements of adaptation communications identified by Parties  
<http://unfccc.int/resource/docs/2017/apa/eng/inf01.pdf>

<sup>3</sup> [http://unfccc.int/files/meetings/bonn\\_may\\_2017/application/pdf/apa\\_workshop\\_item\\_4\\_informal\\_report\\_final\\_version.pdf](http://unfccc.int/files/meetings/bonn_may_2017/application/pdf/apa_workshop_item_4_informal_report_final_version.pdf)

<sup>4</sup> [http://unfccc.int/files/meetings/bonn\\_may\\_2017/in-session/application/pdf/apa\\_4\\_informal\\_note\\_final.pdf](http://unfccc.int/files/meetings/bonn_may_2017/in-session/application/pdf/apa_4_informal_note_final.pdf)

<sup>5</sup> [http://www4.unfccc.int/Submissions/Lists/OSPSubmissionUpload/75\\_280\\_131202983317121819-SK-10-06-APA%204%20Adaptation%20COM.pdf](http://www4.unfccc.int/Submissions/Lists/OSPSubmissionUpload/75_280_131202983317121819-SK-10-06-APA%204%20Adaptation%20COM.pdf)

<sup>6</sup> [http://www4.unfccc.int/Submissions/Lists/OSPSubmissionUpload/783\\_322\\_131347311876248243-MT-03-23-EU%20APA4%20Adaptation%20Communication%20Submission.pdf](http://www4.unfccc.int/Submissions/Lists/OSPSubmissionUpload/783_322_131347311876248243-MT-03-23-EU%20APA4%20Adaptation%20Communication%20Submission.pdf)

#### IV. “Skeleton” outlining further guidance in relation to the adaptation communication

##### **(Preambular)**

##### Recalling

- Art. 7 of the Paris Agreement, in particular Art. 7(10) and 7(11)

##### Also recognizing the close linkages with

- Art. 13(8) of the Paris Agreement and Para 90 of 1/CP.21 (transparency)
- Art. 7(14) of the Paris Agreement and Para 99(a)(ii) of 1/CP.21 (Global Stocktake)
- Art. 7(12) of the Paris Agreement (public registry)
- The Sustainable Development Goals and the Sendai Framework on Disaster Risk Reduction

##### **(Purposes)**

##### Agrees that the purposes of the adaptation communication are as follows:

- Enhance visibility / the profile of adaptation
- Facilitate learning by sharing evidence and good practice
- Inform the review on the overall progress towards the global goal on adaptation
- Recognize adaptation efforts
- Inform future decisions under UNFCCC (with a view to enhancing implementation and providing recommendations for strengthening and improving effectiveness and efficiency of the adaptation framework)
- Enhancing the implementation of adaptation and catalyzing further action

##### **(Elements)**

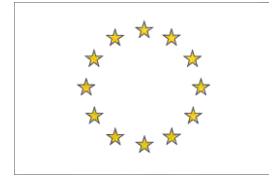
##### Decides to adopt the elements and sub-elements in the annex to this decision as a guide for an adaptation communication.

##### Annex:

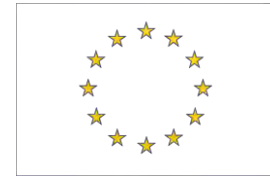
- National context/circumstances:
  - ⇒ Information on climate scenarios, key climate hazards (observed and expected, including scale and time frames), observed and expected climate impacts;
  - ⇒ Assessment of (existing and expected) risks, impacts, vulnerabilities and adaptive capacity, including the description of methodologies used for the assessment, including the associated uncertainty;
  - ⇒ Institutional arrangements and governance systems to manage adaptation, including on vertical and horizontal coordination, generation and dissemination of data and information to decision makers and stakeholders;
  - ⇒ Legal, regulatory and institutional framework enabling adaptation-related processes (including inter alia planning, decision-making, consultation, participation, implementing, monitoring, evaluation, reporting).



- Information on plans, priorities, actions, programmes, strategies:
  - ⇒ Adaptation and development objectives and priorities;
  - ⇒ Policies, strategies, main programmes and lines of actions and plans in place / planning process(es) to be undertaken to enable progress towards objectives, including a description of methodologies used for their selection;
  - ⇒ Information on integration of adaptation-related planning in government wide planning mechanisms and processes;
  - ⇒ Arrangements in place to ensure co-ordination and adjustment of priorities and activities in the light of experience, noting stakeholder involvement and feedback, both across sectors and levels of governance, including civil society and the private sector, as relevant;
  - ⇒ Co-benefits of adaptation for other areas of sustainable development.
  - ⇒ Information on e.g. plans, priorities, actions, programmes, strategies from the private sector, if available.
  
- Implementation of adaptation efforts and progress made:
  - ⇒ Description of co-ordination action undertaken;
  - ⇒ Description of activities carried out under adaptation plans, with assessment of effectiveness and /or plans for evaluation;
  - ⇒ Progress on introduction of or changes in regulation, policies and planning;
  - ⇒ Progress on adaptation action and programmes;
  - ⇒ Progress on mainstreaming/integrating adaptation into overall development strategies and sectoral plans and programmes.
  
- Monitoring and Evaluation (M&E) of adaptation action, its outcomes and findings:
  - ⇒ Mechanisms in place or under development to track adaptation action and outcomes (including scope, purpose, and indicators used, if appropriate);
  - ⇒ Systems in place or under development to measure and track national, international and private finance for adaptation;
  - ⇒ Good practice and (negative) lessons learned from policy and regulatory changes, practical action or co-ordination mechanisms, including remaining challenges, and plans to address them;
  - ⇒ Information resulting from M&E mechanisms, including on effectiveness of implemented adaptation actions, and results in increased resilience/ reduced vulnerability/ enhanced adaptive capacity from actions undertaken.



- Implementation and support needs:
    - ⇒ Domestic and international, public and private, resources invested in adaptation (international/national/sub-national, sectoral as available), including sources of data;
    - ⇒ Financial instruments and/or budget provisions enabling implementation of adaptation action, including domestic, international and private finance mobilization;
    - ⇒ Adaptation related technology development and transfer measures and activities, support provided, needed and received;
    - ⇒ Adaptation related capacity building provided, received and needed.
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**SUBMISSION BY THE REPUBLIC OF ESTONIA AND THE EUROPEAN COMMISSION  
ON BEHALF OF THE EUROPEAN UNION AND ITS MEMBER STATES**

Tallinn, 11/10/2017

**Subject: Submission on the Global Stocktake (GST) - Possible elements of textual outline for the identification of the sources of input to and development of the modalities for the GST**

**Summary of key points**

- This submission builds on the “possible textual outline” in the co-facilitators informal note as well as suggests elements for a draft CMA1 decision text. The focus of this submission is the organisation of the modalities for the Global Stocktake into a technical and a political phase.
- EU suggests a technical phase comprising focused technical dialogues targeting three workstreams: mitigation, adaptation, and finance flows and means of implementation and support. Each technical dialogue will reflect on progress towards the respective long-term goals and the relevant provisions of the Paris Agreement. The dialogues will take stock of where we are collectively, where we need to be and inform Parties of possibilities for enhanced individual and collective action, including through international cooperation.
- The technical dialogues could be organised jointly under SBI and SBSTA during the May/June session in the year of the GST, beginning in 2023 and every five years thereafter. Parties, the Secretariat, subsidiary bodies, constituted bodies, international organisations and non-Party stakeholders can present and discuss the inputs as included in a non-exhaustive list to be attached to the CMA1 decision. Issues that cut across the three workstreams will need to be taken into account.
- Each technical dialogue would result in a non-negotiated summary by their co-facilitators.
- The output from the technical phase will inform and serve as a basis for the political phase at a dedicated political ministerial segment at the CMA session in 2023 (and every five years thereafter) which should promote a shared political understanding and create momentum.

- The EU considers that events held outside the Paris Agreement process and during the course of the ambition cycle could make complementary important contributions.

## I. Introduction

1. The European Union and its Member States (EU) welcome the opportunity to submit further views on the Global Stocktake (GST), and, in particular, on the modalities for the organisation of the GST. This submission builds on and should be read together with the EU's previous submissions<sup>1</sup>.

2. Most of the essential elements necessary to run the ambition cycle and the GST are set out in the Paris Agreement and decision 1/CP.21. The CMA1 decision should therefore bring these elements together into a coherent narrative, setting out in a single decision text the purpose, scope, inputs, outputs and outcomes related to the ambition cycle that are spread out across the Paris Agreement and decision 1/CP.21. The narrative should emphasize that the GST is guided by the long-term goals of the Paris Agreement, and must retain the delicate balance of what was agreed in Paris with regards to adaptation, mitigation, and finance flows and means of implementation and support.

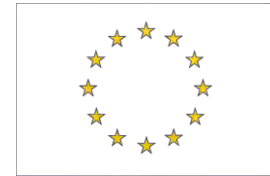
3. The CMA decision should also contain any additional elements necessary to make the GST and the Paris Agreement ambition cycle operational. This submission focuses on these additional necessary elements, in particular on modalities for the organisation of the technical and the political phases of the GST. Given that implementing the Paris Agreement is an iterative process and will continue to evolve over time, the CMA1 decision should allow for refinements to the design and operation of the GST to be agreed by future CMAs on the basis of experience gained.

4. This submission is designed to contribute to the continued development of the "possible textual outline" in the co-facilitators' note that can bring us closer to a decision for APA item 6. The objective of the forthcoming APA session should be to move from such "possible textual outline" to a draft decision text to be further considered towards adoption at CMA1.3 in 2018.

5. As a contribution towards the further development of the co-facilitator's note, Annex 1 of this submission outlines the elements for a draft decision text whereas Annex 2 of this submission further summarises key substantial aspects to be addressed under the technical phase for each of the workstreams.

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<sup>1</sup> EU submissions on Global Stocktake from 07/10/2016 and 02/05/2017



## II. Modalities and the inputs for the Technical Phase

### a) *Structure of the Technical Phase*

6. Article 14 provides that the GST will assess collective progress towards achieving the long-term goals of the Agreement considering mitigation, adaptation and means of implementation and support in the light of equity and the best available science. Given the unique nature of each of these challenges and the provisions set out in the Paris Agreement and of decision 1/CP.21, the technical phase should comprise three distinct workstreams: mitigation, adaptation and finance flows and means of implementation and support.

7. The design of each of the workstreams should be considered in a balanced and tailored manner in the context of the Agreement's purpose (Article 2.1) and reflect on progress for each of the long-term goals<sup>2</sup> and the relevant provisions of the Agreement. The GST contains backward and forward looking elements hence the technical phase will reflect on where we are collectively, where we need to be in relation to the long-term goals and raise awareness of opportunities for enhanced climate action and international cooperation.

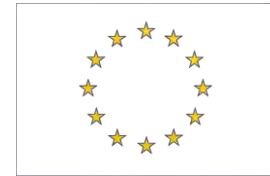
### b) *Sources of input*

8. Para 99 of Decision 1/CP.21 sets the basis for the broad categories of sources of input. We would expect that a list of sources of input both for overarching issues and for adaptation, mitigation and finance flows and means of implementation and support would be annexed to the CMA decision in 2018 as an indicative, non-exhaustive list that could be reviewed by SBSTA at its session in May/June 2021.

9. These inputs should include the information necessary for the three workstreams to take stock of where we are collectively, where we need to be, and what more we need to do towards achieving the respective long-term goals, as well as opportunities for climate action to achieve these goals. Inputs key to answering each of these questions include, but are not limited to, those contained in paragraph 99 of Decision 1/CP.21 such as latest reports of the IPCC. These should be complemented with input relevant for assessing progress with respect to the long-term goals as provided by constituted bodies and processes (e.g. the enhanced transparency framework) based on mandates from the Paris Agreement and decision 1/CP.21. In addition the Biennial Assessment and Overview of Climate Finance Flows by the Standing Committee on Finance and information on Parties' long-term low greenhouse gas emission development strategies should inform the technical phase.

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<sup>2</sup> for mitigation Article 2.1 a and Article 4.1, for adaptation Article 2.1 b and Article 7.1 whereas Article 7.14 stipulates what the GST with regards to adaptation shall address, for finance flows Article 2.1.c and considering the means of implementation and support as per Articles 9.6 and 10.6.



10. The CMA could invite Parties, the Secretariat, subsidiary bodies, constituted bodies, the IPCC and other intergovernmental organisations and non-Party stakeholders that include climate change policies at the forefront of their work, to prepare and provide these inputs in a timely manner before the technical phase starts. Preferably, this work should be undertaken throughout the year preceding the technical phase in order to prepare the organisation of the technical dialogues as described in the subsequent section.

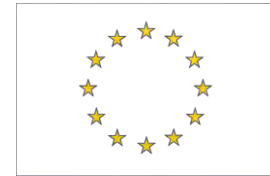
*c) Organisation of work*

11. The technical phase could be organised jointly under SBI and SBSTA (during the May/June session 2023 and every five years thereafter) in the form of focused technical dialogues for each of the three workstreams. Each dialogue should operate under agreed terms of reference specific to each workstream. Suggested elements for terms of reference for each of the workstreams are outlined in Annex 2 of this submission. Parties, the Secretariat, subsidiary bodies, constituted bodies, international organisations and non-Party stakeholders can present their views on specific aspects drawing on the non-exhaustive list of inputs. The SBI and SBSTA chairs could appoint two co-facilitators per technical dialogue who would moderate, contribute to the organisation of the technical dialogues (making use of the updated list of sources of input), and, in collaboration with the Secretariat, prepare the summary of each dialogue.

12. Each technical dialogue would be organised to address the questions of where we are collectively with regards to progress towards the respective long term goals, information in relation to where we need to be with regards to the respective long term goals and to inform Parties of the potential to enhance climate action and international cooperation, as well as approaches that could enhance effectiveness in implementation.

13. To address the relationships between implementing mitigation and adaptation efforts and the financial flows underpinning these, each dialogue should be invited to take due account of such cross-cutting considerations. This could be aspects reported through the enhanced transparency framework, co-benefits arising from outcomes in implementation of finance and mitigation and adaptation efforts, information-sharing on how to overcome barriers and good practices and policy options, actions and approaches that could enhance effectiveness in implementation and support. Highlighting opportunities and good practice from other multilateral fora, for instance actions under Agenda 2030 could also be considered.

14. Each dialogue should also be informed by structured inputs by relevant actors on opportunities to enhance international cooperative action, availability of solutions and good practices that contribute to the long-term goals of the Paris Agreement. Relevant bodies serving the Paris Agreement with mandates to enhance implementation and improve the effectiveness and efficiency of climate action could report on opportunities to overcome barriers and enhance effectiveness in implementation. In addition, expert organisations



could report on opportunities and potential for cost-effective actions and concrete policy options.

*d) Output of the technical phase*

15. The co-facilitators would summarise key aspects deriving from the technical dialogues and take note of the sources of inputs. Each technical dialogue would result in a non-negotiated summary by the co-facilitators.

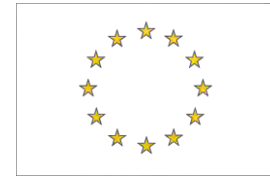
III. Modalities and input for the political phase

16. The output from the technical phase will inform and serve as the basis for the political phase. The political phase should be in the form of a dedicated ministerial segment at the CMA session in 2023 (and every five years thereafter) designed to raise political awareness of the collective progress to date in achieving the Agreement's purpose and its long-term goals and incentivise Parties to undertake further ambitious, efficient and effective efforts. It should promote a shared political understanding of the key issues, challenges and opportunities as evidenced in the technical phase alongside the three workstreams in order to inform and create momentum for domestic processes that underpin the enhancing and updating, in a nationally determined manner, of Parties' actions and support both collectively and individually.

17. As in the technical phase, opportunities to enhance climate action should inform the political phase, demonstrating cooperative action, best practices and examples of how to overcome barriers in implementation through the participation of high-level non-Party-stakeholders representatives at a given moment. Such potential and availability of solutions will inform Parties of opportunities that could incentivise further ambitious actions and support implementation of efforts in their NDCs and national adaptation processes. The output could be captured in the format of a political declaration and /or CMA decision.

*Outcome of the Global Stocktake to inform future actions and domestic planning processes*

18. The outcome of the GST for mitigation should enable Parties' subsequent NDCs as per Article 4.9 and 4.3, to better achieve the purpose of the Agreement in Article 2.1 (a) and the aims set out in Article 4.1, as well as in enhancing international cooperation for climate action. The GST could also enhance the understanding of climate pathways, potential for cost-effective mitigation action both short - and longer term as well as inform Parties in relation to their long-term low GHG emission development strategies. Parties' domestic action will both inform and be informed by the GST. Therefore, it is important for countries to take into account the moments of international reflection in their domestic processes and



that these policies recognize the long term goals, reporting timelines and review cycles of the Paris Agreement.

19. The outcome of the GST for adaptation should be an incremental increase in Parties' adaptation actions and efforts, with a view to enhancing adaptive capacity, strengthening resilience and reducing vulnerability to climate change, at the local and national level, as well as through international cooperation. In this regard, the GST will help identify good practice, incentivize cooperation, enhance understanding and awareness of risks and accordingly, Parties' adaptation strategies.

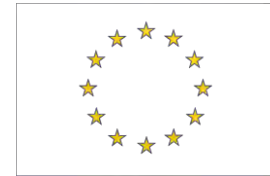
20. The outcome of the GST for finance flows and means of implementation should be enhanced action to make finance flows consistent with the mitigation and adaptation goals of the Agreement set out in Articles 2.1 (a), 2.1(b), 4.1 and 7.1, including the shifting of finance flows from high greenhouse gas and climate vulnerable development towards low greenhouse gas and climate resilient development. This will include, but is not limited to, improved understanding of how support can most effectively be provided, mobilised and utilised to achieve these goals.

21. The time between the convening of the ministerial segment and subsequent communications of NDCs by 2025 should be followed by action through domestic planning processes and implementation. To further spur and incentivize climate action and political leadership and momentum the EU considers that events held outside the Paris Agreement process and during the course of the ambition cycle could make complementary important contributions.

*EU views on pre-sessional roundtable of 5 November*

22. As highlighted in the introduction, the EU is of the view that the co-facilitators' 'possible textual outline' is a basis to continue our consideration of this item. Our proposal would be to use the pre-sessional roundtable to initiate identifying elements for the draft CMA decision within this outline. While doing so, we would suggest focusing first on the modalities for the organisation of the GST process, followed by a discussion on sources of input in relation to the organisation of the GST. Once the modalities become more crystallised, the parts on interlinkages and on input can be more usefully addressed.





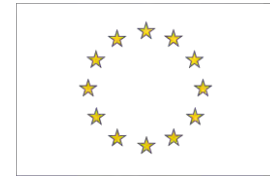
## **ANNEX 1 – Elements for draft decision text**

### **Technical phase**

- CMA to decide that the technical phase will be jointly undertaken by SBI and SBSTA to take stock of progress towards the long-term goals as outlined in Article 14
- CMA to decide that the technical phase will comprise three distinct technical workstreams;
  - (i) mitigation,
  - (ii) adaptation
  - (iii) finance flows and means of implementation and support

A technical dialogue for each of the workstreams will be conducted to report on collective progress towards each of the three long-term goals stipulated in article 2.1 and corresponding long-term goals on mitigation (Article 4.1) and adaptation (Article 7.1)

- CMA to decide that these technical dialogues will address information with regards to
  - taking stock of Parties' efforts and commitments and where we collectively stand in relation to progress towards the long-term goals
  - raising awareness about potential and opportunities for enhanced climate action and international cooperation
- (Placeholder for substantive guidance for each workstream)
- CMA to request SBI and SBSTA chairs to organise in May/June 2023 and every five years thereafter technical dialogues for each of the three workstreams (mitigation, adaptation, and finance flows and means of implementation and support) of the GST, tailored to the specificities of each of the workstreams and their respective objectives and taking due account of cross-cutting issues.
- Request to SBI and SBSTA chairs to start each of the technical dialogues with workshops where the sources of input as outlined in the non-exhaustive list will be presented.
- Request to SBI and SBSTA chairs to facilitate within each technical dialogue discussions among Parties, including the participation from observers with the aim to see to what extent the collective ambition must increase and raise awareness of concrete opportunities to do so.
- Request to SBI and SBSTA chairs to appoint 2 co-facilitators per workstream with task of facilitating the technical dialogues for each workstream and who would moderate, contribute



to the organisation of the technical dialogues in collaboration with the Secretariat and prepare the summary from each technical dialogue.

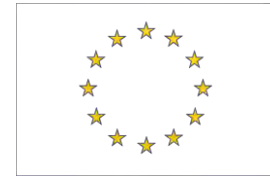
- Request that each technical dialogue be summarized by the co-facilitators.
- Invite subsidiary bodies, constituted bodies, Parties, Secretariat, relevant international organizations and non-Party stakeholders to prepare their inputs for the technical phase well in time and direction to the Secretariat to compile information for the technical phase the year in advance.
- Possibility to refine elements of the overall GST process on the basis of experience gained.

### **Sources of input**

- CMA confirming paragraph 99 of decision 1/CP.21 as a basis for establishing a non-exhaustive list of sources of input;
- CMA agreeing that input should be based on the best available science addressing the collective progress by Parties and efforts to date, evidence on the level of efforts of existing pledges, commitments and NDCs and their effects towards the objectives of the Paris Agreement as well as opportunities towards meeting the long term goals of the Paris Agreement.
- CMA taking note of/agreeing the indicative non-exhaustive list as attached to the decision and inviting SBSTA to review such list at its session in May/June 2021
- Agreeing to update the list prior to each GST

### **Political phase**

- CMA to decide on a dedicated political ministerial segment at its session in 2023 and every five years thereafter with the aim to promote a shared political understanding of the key issues, challenges and opportunities as evidenced in the technical phase in order to inform and create momentum for domestic processes that underpin the enhancing and updating of actions and support both collectively and individually and raise awareness of opportunities for enhanced international cooperation
- CMA to capture the output in a political declaration and/or a CMA decision.
- Placeholder on possible events outside the CMA or UNFCCC during the course of the ambition cycle.
- CMA to have the possibility to refine elements of the overall GST process on the basis of experience gained, including the FD2018.



## **ANNEX 2 – Substantial elements for each of the workstreams in the technical phase**

The GST should build a shared understanding of the overall effect of contributions and what collectively needs to be done to achieve the long-term goals of the Paris Agreement. The outcome of the GST should raise the public awareness and the political will necessary to trigger the domestic processes that will update and enhance future nationally determined actions and support, and to enhance international cooperation in line with the Agreement's long-term goals.

Generally the technical phase should:

- Take stock of Parties' efforts and commitments and collective progress towards achieving the Agreement's purpose and its long-term goals based on best available science.
- Raise awareness of concrete policy options and opportunities for enhanced climate action for achieving the long-term goals and international cooperation.

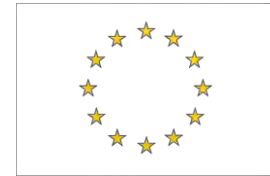
For each of the technical dialogues this would imply looking into:

### Mitigation

- Information on the basis of best available science on the level of effort of the existing pledges, commitments in NDCs and information reported under Article 13.7 in face of the global mitigation action required in accordance with best available science to achieve the Agreement's long term goals stipulated in Article 2.1(a) and Article 4.1
- Collective progress by Parties and efforts to date as well as experiences in overcoming barriers to the implementation of mitigation policies;
- Policies, measures, cost-efficient solutions as well as other initiatives with high mitigation potential

### Adaptation

- Information on progress towards achieving the long-term goals as stipulated in articles 2.1(b) and 7.1, including on the state of the art of adaptation efforts and the progress in the implementation of Parties' adaptation actions and planning processes at all levels, in international cooperation as well as challenges ahead;
- Information on progress achieved regarding the adequacy and effectiveness of adaptation and support provided for adaptation;



- Good practices to offer around options for increasing adaptation action;
- The need for and benefits of mainstreaming adaptation action into development planning.

#### Finance flows and Means of Implementation and Support

- A stocktake of collective progress towards reaching the long-term goal in Article 2.1(c) of making finance flows consistent with a pathway towards low-greenhouse gas emission and climate resilient development, including experiences overcoming barriers to the implementation of policies that align finance flows.
- Quantitative information of the current state of climate finance flows, both domestically and internationally, at a global level, encompassing low greenhouse gas and climate resilient investments, informed among others by up to date accounting methodologies with the aim of sharing best practice;
- Quantitative information on the current state of wider finance flows and their consistency with a pathway towards low-greenhouse gas emission and climate resilient development, including risk of lock-in of high emission technology and climate vulnerability
- Collective progress by Parties and efforts to date as well as experiences in mobilization and use of means of implementation and support;
- Qualitative information regarding concrete measures, policies and solutions which have successfully triggered transformational change of the financial sector support a low greenhouse gas emission and climate resilient economy, with the aim of sharing best practice. Information on the progress made on implementing capacity-building plans, an enabling environment for technology development and transfer and all other policies, actions or measures to implement the Paris Agreement.



**SUBMISSION BY THE REPUBLIC OF ESTONIA AND THE EUROPEAN COMMISSION  
ON BEHALF OF THE EUROPEAN UNION AND ITS MEMBER STATES**

Tallinn, 11/10/2017

**Subject: Submission on further work following APA 1.4**

1. The APA 1.3 Conclusions invited Parties to submit their views on how to progress work in the period after APA 1.4 in a coherent, balanced and coordinated manner, bearing in mind the related matters being considered by the SBI and SBSTA.

2. The EU welcomes the possibility to submit its initial views on this issue and also reflect on how to achieve progress during APA 1.4. We look forward to continue exchanging views with others Parties in the course of the coming weeks either bilaterally or in other informal settings, as well as during COP23.

**Summary of key points**

- 1. COP23 needs to deliver an outcome that represents substantial progress in the negotiations paving the way to the adoption the Paris Work Programme at COP24.**
- 2. COP24 must adopt a complete and comprehensive package of decisions in all elements of the Paris Work Programme.**
- 3. The outcome of COP23 should take the form of draft decision text or textual elements in all mandated items and provide sufficient clarity on the negotiating process and the mode of work for next year.**
- 4. Negotiations at COP23 should take a balanced and tailored approach to each agenda item and allow the Presiding Officers the flexibility to make the best use of the time available.**
- 5. This should include developing text in an iterative, transparent and effective manner, based on Parties' views as expressed in the workshops, roundtables, submissions and the negotiations.**
- 6. Substantial differences in Parties' views may require political discussion and resolution. However, these should not prevent the development of text. Instead such differences should be captured in the form of a limited number of clear and bracketed options.**
- 7. Presiding Officers should continue to arrange for regular stock takes and discussions among co-facilitators to assess the progress of our work and to address specific issues within or between different agenda items.**

**8. Given the limited negotiating time available next year, Parties should be encouraged to advance progress through informal focused technical discussions among experts between sessions.**

I. Overall objectives for COP23 and COP24

3. COP23 needs to show strong momentum behind Paris by achieving substantial progress and collective movement in order to deliver the adoption of the Paris work programme at COP24. At COP23 we need to move from conceptual discussions into a new phase of the negotiations by delivering an outcome in the form of draft decision text or other textual elements that will assist negotiations during 2018. We felt encouraged that the same sentiment has been shared and confirmed by Parties, including at the ministerial level, in recent informal meetings.

4. The modalities, procedures and guidelines we are to agree in Katowice will be essential for Parties to implement the Paris Agreement as they will provide the details on how we implement its provisions; for example how we will report, account for and review implementation, and how we will collectively progress our efforts over time are essential elements that Parties need to elaborate on.

5. We need to organise our work between now and COP24 bearing in mind our collective objective. In the following pages we have a look into how we can best progress our work in Bonn and subsequently make further suggestions on the follow up work for next year.

6. We will have to continue to reflect on these issues also during COP23 so as to better accommodate the level of progress achieved and to be able to provide further insights on the approach to follow from APA 1.4. We look forward to working with Parties and the Presiding Officers to ensure a dynamic and productive conversation during COP23.

II. Mode of work for APA 1.4 and the relevant SB agenda items

7. We should continue our work at the COP in a manner that fulfils the mandates of the individual agenda items, takes into account the substantive inputs and the discussions, including submissions and roundtables, and ensures they all receive the amount of time required for their completion, which will vary according to their technical complexity and level of detail.

8. We look to the Presiding Officers of the APA and the subsidiary bodies to set out an agenda and process that is balanced and tailored in a way that is faithful to the Paris Work Programme. This should allow each issue within the work programme to make progress



according to the needs and logic of that issue, while keeping an oversight on the linkages between issues.

9. Hence, in this context we believe we will make progress at COP23 by addressing the following key issues:

- **A productive and effective schedule of meetings:** we should make the best use of the time available during the COP and manage our schedule in an effective and transparent manner. We will rely on the Presidency and the Presiding Officers to achieve that purpose, including keeping the process open to observers as much as possible.
- **A tailored approach to each agenda item:** Relying on the co-facilitators to take a tailored approach to dealing with each agenda item with regard to the technical detail and structure necessary to complete the unique mandates given to each in Paris
- **Considering all of the substantive inputs:** Ensuring that the discussions of the round tables are taken into account in the APA and SB discussions in the respective agenda items through co-facilitators reports of those sessions that would be published online. Also take note of submissions made prior to the session that will help the facilitators identify some of the key issues to bring forward in the discussions.
- **Oversight and ensuring coherence in overall progress:** conducting regular stocktakes of the progress being made across the different APA and SB agenda items to ensure linkages between these items are well-managed
- **Keep the discussions technical:** ideally, in order to advance discussions on the work programme these should remain as much as possible at the technical level within each of the agenda items.

### III. How to capture progress at APA 1.4 and how to move on to COP24

10. We have learned from past experience that a party driven process and a party owned text will emerge most efficiently through transparent debate and the iterative development of text by the chairs and facilitators. We are not convinced that compilation of submissions and Parties views are the most efficient way to conduct this process.

11. The Presiding Officers will have a key role in assisting us on delivering those textual elements. They should reflect with the co-facilitators and on the basis of the substantive input available on how those textual elements may look like for individual agenda items. In addition, as previously indicated, regular stocktakes to look at the overall progress and have a coordinated approach towards the next steps have proven to be useful and we would continue to encourage them.



12. Secondly, it's important that we achieve clarity on the process for next year, so that Parties are reassured that we will be able to deliver on our task. We believe that clarity should come by the end of COP23 by having a dynamic and indicative "roadmap" of meetings and milestones for 2018 prepared by the Presidencies on the advice of the Presiding Officers and the Secretariat. We believe this would be the best way to maintain momentum between COP23 and COP24.

13. We don't expect to negotiate this roadmap during COP23. The objective should be simply to provide an indicative timeline and outlook of deliverables for the negotiations process next year that may be adjusted according to the evolution of the process. The incoming and future COP Presidencies flexibility needs to be preserved.

14. The case for workshops or submissions next year should be assessed on a case by case basis. However, ideally Parties discussions should be guided by textual elements such as straw proposals and/or co-chairs/co-facilitators notes. Should such workshops or technical meetings be considered necessary, it needs to be clear that the deliverables must be captured and need to be allowed to take actual negotiations forward. The budget implications must be part of the consideration. Our expectation is to achieve a complete and comprehensive package at COP24, comprising of decisions in all elements of the Paris Work Programme.

15. In this context, we believe it will be important for the COP Presidencies and the Presiding Officers to reflect and provide further clarity on:

- **the need** for additional submissions or roundtables,
- **the timing** of the emergence of draft decision text

16. We are also supportive of the COP Presidencies initiatives to gather Heads of Delegation in informal meetings between sessions in order to help clarify and reach a shared understanding on key issues.

17. Informal work amongst experts to advance the technical discussions is of the utmost importance. Many other processes parallel to the UNFCCC either formal or informal have been successful in creating the right environment for Parties to exchange ideas and reach common views in the run up and after Paris. Therefore, Parties should continue to create and/or use these spaces between sessions as a means to progress the work and identify compromises that are crucial for the completion of the textual phase.



#### IV. Reflection on the current progress in the different agenda items

18. Overall, progress under the agenda items of the Paris Work Programme is quite different not only in substance but also in the approach followed by the facilitators as a means to conduct the work. A general overview of the co-facilitators notes demonstrates that both the balance, structure and the level of detail on substance varies depending on whether the agenda item is more or less political. Also, on some agenda items the co-facilitators' notes seem widely accepted as capturing the state of play, whereas other notes remain quite controversial. The Presiding Officers need to recognize – and help Parties address – this challenge of uneven progress.

19. Some informal notes seem to be less developed due to significant substantial differences in Parties' views that may require political discussion and resolution. We believe such differences cannot be allowed to stand in the way of advancing the text. An approach to dealing with major differences should be to capture them in the form of a limited number of clear and bracketed options, while continuing to work on the non-controversial aspects of the text.

20. In the context of our internal analysis we expect that on some issues there may still be a need for submissions or even workshops next year, whilst others seem to be more mature in their thinking. As stated above, this should be seen on a case by case basis and the level of specificity required.

21. We should also reflect on the need to set up joint sessions between different agenda items due to their interlinkages and complementarity. This however, should be managed in a focused and efficient manner. Any joint session should deal with the specifics of a key concern and general debates are to be avoided. We could also explore the idea of setting up spin-offs or other innovative ideas to manage the session that would allow Parties to have detailed technical discussions on specific topics.

22. In general, there is a sense that Parties will need to continue to explore more on substance both within their own party grouping and with others during the course of next year. There is some uncertainty into what extent we are able to say at present time how much will the work evolve over the course of the 2 week session and some are more positive than others in terms of progress. We believe this assessment should be a continuous exercise up until we suspend our session in Bonn.

## SUBMISSION BY THE REPUBLIC OF ESTONIA AND THE EUROPEAN COMMISSION ON BEHALF OF THE EUROPEAN UNION AND ITS MEMBER STATES

Tallinn, 20/09/2017

**Subject:** Further guidance in relation to the mitigation section of Decision 1/CP.21 on:

- Features of nationally determined contributions, as specified in Paragraph 26;
- Information to facilitate clarity, transparency and understanding of nationally determined contributions, as specified in Paragraph 28;
- Accounting for Parties' nationally determined contributions, as specified in Paragraph 31

### Summary of key points

- This submission provides the European Union (EU) proposals for further guidance on accounting for NDCs, provision of information to facilitate clarity, transparency & understanding (ICTU) and features of NDCs.
- As mandated by Decision 1/CP.21, this guidance should apply to the elaboration of Parties' second and subsequent NDCs in order to guide Parties' communication or updating of their NDCs by 2020. Developing further guidance on each of these sub-items by COP24, is therefore a crucial part of the Paris Agreement work programme.
- The guidance needs to be suitable and relevant for the whole range of NDCs (target types, national capacities and circumstances), to reinforce Parties' trust and confidence.
- We propose using the concept of *applicability* as the best way to elaborate common guidance for Parties' differentiated contributions. While some of the guidance will be common to all NDCs, parts of the guidance on accounting and ICTU will be applicable only to a subset of NDCs. Parties determine which parts of the guidance apply to them by preparing their NDCs in a nationally determined manner.
- Regarding **accounting** the guidance must ensure that the principles contained in Article 4(13) of the Agreement are implemented in tracking progress with implementing and achieving NDCs. In order to draw from existing approaches, the accounting guidance should identify which approaches established under the Convention and its related legal instruments can be used under the Paris Agreement. Some of these approaches will need clarification or modification. Accounting balances will also need to be used for NDCs where accounting requires elements that go beyond the information in GHG inventories.
- Regarding **clarity, transparency and understanding** (ICTU), the guidance must be tailored to the diversity of NDCs. For each individual NDC, the exact guidance that applies, and the information necessary to understand what a Party offers to do in its NDC, depends on the content of the NDC itself. We see the NDCs themselves as the appropriate vehicle to communicate ICTU. Timing for providing ICTU is therefore also the same as for the communication of NDCs.
- Regarding **features**, which we understand to be the common characteristics of NDCs, the guidance should refer to the existing guidance provided in Article 4 of the Agreement. It should also incorporate further guidance, where needed, and leave open the possibility for continued refinement of guidance as Parties gain experience in preparing successive NDCs. We consider quantifiability to be one of the features that should be recognised explicitly in the guidance since this would provide greater clarity to Parties.

## I. Introduction

We welcome the opportunity to submit views on APA agenda item 3, including on the elements and issues outlined in the co-facilitators' informal note and on how they could be reflected in the guidance.

In our view, the purpose of this item is to elaborate guidance that will assist Parties in the preparation of their successive NDCs as well as reinforcing trust and confidence in the NDCs.

The guidance needs to be true to the provisions of the Paris Agreement concerning the preparation, communication and accounting of NDCs as a means of meeting the mitigation goal of Article 4(1). At the same time, the guidance needs to be suitable and relevant for the whole range of NDCs, which span a variety of contribution types and national capacities and circumstances.

## II. General Approach

In the EU's view, each of the sub-items under APA3 should be considered individually, since each item has a separate mandate under Decision 1/CP.21. Nevertheless, it is also important to ensure internal consistency of the approach. Therefore, this section provides the EU's view on important aspects of the guidance and the APA3 process that are not specific to individual sub-items.

### Timing of guidance

We would like to recall our submission made on 6 October 2016, which considered that decisions on further guidance based on the mandates summarized under this item should apply to the elaboration of Parties' second and subsequent NDCs, as mandated in Decision 1/CP.21. It is therefore important that decisions on guidance are adopted by the CMA 1 by COP24 in order to guide Parties' communication or updating of their NDCs by 2020 in line with Paragraph 23 and 24 of Decision 1/CP.21.

### Addressing differentiation through the concept of applicability and the diversity of NDCs

In our view, the diversity of NDCs represents a key strength of the Paris Agreement. Through the concept of national determination, as well as through dynamic provisions such as Article 4(3) and 4(4), the Agreement safeguards this diversity and operationalises the principle of CBDR-RC. In determining their individual NDCs, Parties take into account their national circumstances, capabilities and different starting points.

Thus, it is essential that the guidance crafted under this item accommodates this diversity in order to assist all Parties in the processes of accounting and providing accompanying information. We propose operationalising this through the concept of applicability, as further explained in the CTU and accounting sections of this submission.

To us applicability means that, while some of the guidance will be common to all NDCs, some parts related to the processes of accounting or providing accompanying information will apply only to the relevant subset of NDCs. By preparing their NDCs in a nationally determined manner, Parties are determining which parts of the guidance apply to them. For example guidance on providing information related to forward-looking baselines will only apply to Parties whose NDCs use such a baseline. We therefore consider that a Party is to provide all of the information that is applicable to its NDC, in line with the elements it contains.

In this way, the concept of applicability enables the APA to elaborate common guidance for Parties' differentiated contributions, thereby ensuring that the fine balance from Article 4 of the Paris Agreement is maintained and reflected in the NDC guidance. Issues related to differentiation of mitigation contributions are settled in Article 4 itself, which Parties have agreed not to re-open (as mentioned in the co-facilitators' note). Therefore, while the guidance must accommodate the diversity of Parties' (already differentiated) contributions, additional differentiation of the guidance itself is not required.

### Capacity and national circumstances

The EU is committed to assist and build capacities for developing country Parties that need it to prepare their NDC and provide information in a timely manner. We also consider that the guidance on information and accounting should take into account the special circumstances of SIDS and LDCs.

We consider that Parties will build capacity over time as they continue to develop experience in preparing, implementing NDCs. Through bilateral cooperation, we assisted 97 countries in the elaboration of their INDCs ahead of COP21. The EU and its Member States continue to support these efforts through a number of bilateral and multilateral initiatives. For example, a number of Member States as well as the European Commission also participate in and support the NDC Partnership which aims at supporting developing countries in developing and implementing their NDCs and Sustainable Development Goals. The Partnership facilitates country driven technical assistance and knowledge sharing, and promotes enhanced financial support for NDC implementation.

## III. Accounting

### Purpose of guidance on accounting

The purpose of accounting guidance is to ensure that the principles contained in Article 4(13) of the Paris Agreement are implemented in the process of reporting and tracking progress with implementing and achieving NDCs. This includes promoting transparency, accuracy, completeness, comparability and consistency; ensuring the avoidance of double-counting; and promoting environmental integrity. In this regard it goes beyond ensuring transparency.

### Applicability of the guidance

In accordance with Paragraph 32 of Decision 1/CP.21 the application of the accounting guidance is mandatory for the second and subsequent NDCs. Parties may elect to apply the accounting guidance to their first NDCs.

Some provisions of the accounting guidance will be relevant to all NDCs, whereas others will be relevant only in certain circumstances based on the components determined as part of the NDCs. For example, guidance related to common inventory methodologies and common metrics, as requested to be prepared under Paragraph 31 of Decision 1/CP.21, would apply to all Parties. On the other hand, accounting guidance related to voluntary cooperation under Article 6, would only apply to Parties that pursue such voluntary cooperation.

### How to draw from existing approaches established under the Convention and the Kyoto Protocol

As a first step, it is necessary to identify which existing accounting approaches under the Convention and its related legal instruments should serve as a basis for the accounting guidance under the Paris Agreement.

In some areas, we may be able to draw from existing approaches with simple references to existing decisions which would transfer the existing approach to the Paris Agreement. This may be a useful approach when Parties agree to continue to use certain definitions adopted for the purposes of accounting.

In other areas, the existing guidance may need some clarification or modifications in order to be applied under the Paris Agreement. One example is the guidance related to the accounting of natural disturbances under the Kyoto Protocol. It would be useful to clarify how this guidance could be applied based on Convention inventory categories instead of Kyoto Protocol LULUCF activities.

Some other existing approaches do not apply under the Agreement, e.g. the establishment of assigned amounts for each Party for the purposes of accounting.

Previous experiences showed that the use of an accounting balance will also be required to track progress with quantified NDCs. An accounting balance is a structured summary of all relevant quantified components that were determined as being part of the NDC, combining the information from GHG inventories, accounting of LULUCF activities, and information from voluntary cooperation under Article 6 in a transparent manner. It will be necessary to define the elements of an accounting balance, based on the provisions under the Paris Agreement and accounting elements of the NDCs.

Annex I to the EU's previous submission (March 2017) included non-exhaustive examples of existing accounting approaches under the Convention and its legal instruments which should be considered under this sub-heading.

#### Relationships to other agenda items

- **Relationship to Article 13:** Whereas Article 13 determines the information that should be reported under the Paris Agreement, the accounting guidance developed under APA3 will establish modalities for applying the principles of Article 4(13) to the tracking of progress (under Article 13(7)(b)).
- **Relationship to Article 6:** The EU assumes that accounting guidance related to Article 6 will be discussed under its respective SBSTA agenda items. Under APA3 Parties must ensure coherence and relevant cross-references with the texts being prepared under Article 6. For example, the use of voluntary cooperation under Article 6 must be transparently reflected for the tracking of progress with NDCs.
- **Relationship to Article 14:** The accounting guidance is an essential element to be able to aggregate progress across Parties under the Paris Agreement.

#### Headings and elements

Like many other Parties, we see Paragraph 31 of Decision 1/CP.21 as a good starting point for establishing elements and headings for guidance on accounting. Based on our previous submission and on the discussion we had in Bonn, a list of elements to this submission is presented in Annex I addressing accounting guidance. The EU did not subdivide into general and specific accounting guidance because the Paragraph 31 of Decision 1/CP.21 does not implement such categories. The list may not be complete but is meant to provide an overview and facilitate more structured and in-depth discussions at APA 1-4.

#### IV. Information to facilitate clarity, transparency and understanding (ICTU)

##### Purpose of guidance on information

The primary purpose is to guide Parties in providing the information necessary for clarity, transparency and understanding that accompanies their NDCs. A better understanding of the NDCs will ultimately reinforce trust and confidence among Parties. In order to be fit for purpose, this guidance needs to accommodate the diversity of NDCs.

A secondary purpose of the guidance is to provide sufficient comparable information in the NDC submissions that allows the assessment of collective progress in the context of the global stocktake.

The purpose of this guidance is not to impose additional mitigation effort on Parties, given the nationally determined nature of the NDCs, nor to impose the adoption of a common type of contribution such as an absolute economy-wide reduction target.

### Procedural guidance on information

Based on Article 4(8) of the Agreement and the current practice, we see NDCs themselves as the appropriate vehicle to communicate ICTU. We are of the view that the timing of communication of ICTU is the same as for the communication of NDCs, as Article 4(8) of Decision 1/CP.21 states that “in communicating their NDCs, all parties shall provide the information necessary for clarity, transparency and understanding”.

### Applicability of the guidance

The guidance on ICTU must be tailored to the diversity of NDCs. The information necessary to understand what a Party offers to do in its NDC depends on the content of the NDC itself. Some information requirements will be applicable to all types of target(s) (for example providing information on the intended period of implementation). Others will depend on the type of target(s) the Party has chosen (for example information concerning forward-looking baselines - i.e. guidance on business as usual targets is only relevant to Parties who have chosen that type). In the same way, if a Party states in its NDC that it intends to use voluntary cooperation under Article 6, then some specific information requirements may logically apply.

This concept of *applicability* is respectful of the nationally determined nature of NDCs, and helps Parties know what information they have to provide to ensure clarity, transparency and understanding, depending on what they decided to include in their NDC. It does not impose any common format or targets on the NDCs. The “shall” provision of Article 4(8) implies that Parties consider what to include in their NDCs in the light of the information that is available to them within their own capacities and national circumstances.

Article 4(4) states that developed country Parties should continue taking the lead by undertaking economy-wide absolute emissions reduction targets. Developing countries can choose different types of targets in light of their national circumstances, while being encouraged to move over time towards economy-wide reduction targets. The ICTU guidance that applies to a Party's NDC will therefore already accommodate a Party's national circumstances, as reflected in the type(s) of target chosen in the NDC. However, for the same type of target the same minimum information will be necessary to understand the contribution.

### Relationship to Article 13 of the Paris Agreement

Information related to Article 4(8) is to ensure that the contribution is clear, transparent and understandable at the moment when the NDC is communicated. Separately, the transparency framework must ensure that the necessary information is provided to track progress with the implementation and achievement of the NDC during and after the implementation period. Clear and

detailed ICTU from Article 4(8) will enable more efficient reporting in Article 13(7)(b) during the implementation phase.

### Headings and elements

Like many other Parties, we see the Paragraph 27 of Decision 1/CP.21 as a good starting point for establishing headings that can then be populated with sub-headings and elements. In our last submission we listed possible information elements. Based on the discussion held in APA 1-3, a refined list is presented in Annex II of this submission. The list may not be complete but is meant to provide an overview and facilitate more structured and in-depth discussions at APA 1-4.

## V. Features

We understand features to be the common characteristics of NDCs, of which several are listed in Article 4 of the Paris Agreement. Since contributions are nationally determined, Parties determine how features are reflected in their NDCs.

For example, while pursuit of domestic mitigation measures and progression of ambition are common features of NDCs (as per Article 4(2) and 4(3)), all NDCs are differentiated in terms of the extent and type of their mitigation contributions and the measures chosen to achieve them (including co-benefits of adaptation actions and/or economic diversification plans, and use of cooperative approaches under Article 6).

### Developing further guidance on features

Further guidance on features should support the purpose of assisting Parties in the preparation of their successive NDCs as well as reinforcing trust and confidence.

We consider that the guidance developed by the APA for consideration by CMA 1 should therefore:

- refer to the existing guidance provided in Article 4 of the Agreement;
- incorporate further guidance on specific new or existing features, where needed;
- leave open the possibility for continued refinement of guidance as Parties gain experience in preparing successive NDCs;
- apply to all NDCs since it concerns the general characteristics that NDCs share.

The co-facilitators' note provided some useful clarifications on the nature of features guidance. In particular it noted that further guidance should not lead to a re-negotiation of the Paris Agreement and that national determination is a key feature of NDCs. The co-facilitators' note also divided possible elements of features guidance into three categories: *identify and list existing features*; *further elaboration of existing features*; and *additional/new features*.

#### *Identify and list existing features*

The guidance should refer to the fact that existing features of NDCs are contained in Article 4 of the Agreement. These features have been agreed by Parties and will continue to guide Parties in the preparation of their NDCs.

No list of features should replace, or appear to compete with, those agreed in Article 4. However, the exercise of *identifying and/or listing* could be useful to help Parties determine which new or existing features require further elaboration.

#### *Further elaboration of existing features; and additional/new features*

The guidance should provide further elaboration on specific new or existing features where needed. In addition, the guidance should leave open the possibility for such further elaboration beyond CMA 1, as Parties gain experience in preparing and implementing their successive NDCs.

We consider quantifiability to be one of the specific features where further guidance should be elaborated for consideration by CMA 1. We regard quantifiability to be a general feature of NDCs since it is already an underlying requirement for operationalising several agreed provisions of Article 4, such as ensuring progression of ambition under Article 4(3) and accounting for emissions and removals under Article 4(13). Providing quantifiable information also enhances the clarity, transparency and understanding of NDCs in relation to Article 4(8). It would therefore provide greater clarity to Parties if the features guidance were to recognise quantifiability as an explicit feature of NDCs.

## VI. Closing remarks

We are keen to build on the co-facilitators' note and constructive discussions that took place in the May session (APA 1-3). With this in mind, this submission has outlined our proposed approach for moving forward in the development of guidance on accounting, ICTU and features (including proposed structure and elements for the latter two).

We look forward to hearing other Parties' views through submissions and the co-facilitators' non-paper. We also look forward to exchanging views at the roundtable on 6 November, and to continuing to develop the structure and elements of guidance during the next APA session.



## Annex I – Proposed structure of elements of the accounting guidance

### A) Objectives and principles (Article 4(13))

- Accounting guidance aims to promote environmental integrity, ensure transparency, accuracy, completeness, comparability and consistency and ensure the avoidance of double counting in the process of tracking progress with implementing and achieving NDCs at individual and collective level.

### B) Application of accounting guidance (Paragraph 32 of Decision 1/CP.21)

- Mandatory application to the second and subsequent NDCs, Parties may elect to apply accounting guidance to their first NDCs.

### C) Methodologies and common metrics to account for anthropogenic emissions and removals (Paragraph 31(a) of Decision 1/CP.21)

- Adopt 2006 IPCC guidelines for GHG inventories as basis for GHG inventories under Article 13(7)(b);
- Adopt common metrics to calculate CO<sub>2</sub> equivalent emissions for the reporting of GHG inventories for the assessment of individual and aggregate progress.

### D) Drawing from accounting approaches established under the Convention and its related legal instruments (Paragraph 31 of Decision 1/CP.21)

- Description of how Parties' accounting approaches build on existing approaches under the Convention and its related legal instruments;
- Use of GHG inventories under Article 13(7)(b) for the accounting for their NDCs when NDCs are expressed in terms of GHG emissions;
- Guidance on reference levels and/or baselines:
  - Reference level(s)/baseline(s) to be transparent, real, verifiable and robust, including where applicable forest reference (emission) levels;
  - Procedural guidance on updating/changing reference levels and/or baselines and on ensuring methodological consistency.
- Use of an accounting balance;
- Use of voluntary cooperation under Article 6 and any additions/subtractions for the accounting balance;
- Guidance related to emissions and removals from LULUCF that refers to approaches under the Convention and its legal instruments on which Parties could draw from and, if necessary, further explains how Parties could draw from this guidance under the Paris Agreement. Relevant decisions include inter alia:
  - Guidance on accounting for Harvested Wood Products (2/CMP.7, 2006 IPCC Guidelines, IPCC KP supplement);
  - Definition of LULUCF categories and activities (Annex to Decision 16/CMP.1, Paragraph 1, 2/CMP.7, Annex to Decision 13/CMP.1 IPCC 2006);
  - Guidance related to REDD+ (Decision 1/CP.16, 4/CP.15; 13/CP.19; 14/CP.19);
  - Guidance on how to account for natural disturbances (IPCC KP supplement, Decision 2/CMP.7);
  - Guidance on the use of reference levels in the LULUCF and REDD+ Decisions (2/CMP.6, 2/CMP.7, IPCC KP supplement, Decision 1/CP.16, 4/CP.15; 13/CP.19; 14/CP.19);
  - Procedure for technical corrections of forest reference levels to ensure methodological consistency (Decision 1/CMP.6, 2/CMP.7, 1/CMP.16; 13/CP.19).

### E) Ensure methodological consistency, including on baselines, between the communication and implementation of nationally determined contributions (Paragraph 31(b) of Decision 1/CP.21)

- Elaborate accounting guidance that helps Parties to understand what they are expected to do to ensure methodological consistency as addressed in Paragraph 31 of Decision 1/CP.21. Such guidance should elaborate what methodological consistency means and how it can be ensured based on existing IPCC guidance and answer questions such as how consistency can be applied to specific methodologies, and what 'communication' and 'implementation' means in paragraph 31;
- Accounting guidance should establish procedures that Parties should follow in case of methodological inconsistencies;
- Accounting guidance should establish procedures for how technical corrections to baselines/reference levels(s) to ensure consistency should be communicated and implemented.

**F) Parties strive to include all categories of anthropogenic emissions or removals in their NDCs and provide an explanation of why any categories of anthropogenic emissions or removals are excluded (Paragraph 31 (c) and (d) of Decision 1/CP.21)**

- Accounting guidance should clarify that ‘all categories of emissions and removals in NDCs’ on the one hand refer to those categories for which methodologies are provided in IPCC Guidelines;
- As there are also NDCs that refer to categories of emissions that do not exist as categories/sectors/gases in the IPCC guidelines for national greenhouse gas inventories, Parties that include categories that are not part of the IPCC guidelines, should define those categories and explain which methods they intend to apply for their estimation. Where a different organisation of emissions is used (e.g. “deforestation” or “renewable energy”) the categories used should be defined, and an explanation provided as to how they relate to existing categories from the IPCC guidelines;
- Accounting guidance should specify where and how Parties indicate which categories of anthropogenic emissions or removals are included in their NDCs.

**G) Continuity of coverage across implementation periods (Paragraph 31 (d) of Decision 1/CP.21)**

- Once a source, sink, gas, land category or activity is included in a Party’s NDC, this shall be included in subsequent NDCs, provided that it still occurs. The coverage of the NDC shall be transparently explained as part of the information provided related to clarity, transparency and understanding of the NDC under Paragraph 27 of Decision 1/CP.21 as well as part of the information under Article 13 (7)(b).

**H) Accounting guidance related to Article 6**

**Placeholder:**

- The accounting guidance related to voluntary cooperation under Article 6 is discussed under its respective SBSTA agenda items. Under APA3 the Parties must ensure coherence and relevant cross-references with the texts being prepared under Article 6. For example, some information related to voluntary cooperation under Article 6 must be transparently reflected in the accounting balance, as one element for the tracking of progress towards achieving NDC.

## Annex II – Proposed structure of elements of the CTU guidance

*(all headings except A) and I) are taken from Decision 1/CP.21 Paragraph 27)*

### A) Description of the target/of each of the different targets if there are several

- General description of the target(s), including type(s) (e.g. absolute, intensity, reduction from BAU, policies and measures etc., including information on how the contribution is expressed – e.g. as point target, carbon budget, or multi-year target);
- Extent of the mitigation contribution (e.g. headline percentage reduction, and/or policy objective).

### B) Quantifiable information on the reference point (including base year) or period

- Base year or base period, reference year or reference period;
- Quantifiable information related to the reference level(s). e.g. (depending on target type) emissions, BAU projected emissions, denominator information (such as GDP, population) for intensity targets, etc.;

*Update of information on reference point (including base year) or period*

- Information on the conditions and point in time under which the base year/baselines/reference level will be updated, if applicable.

*Parameters used to formulate the NDC*

- Parameters and their values used to define the mitigation contribution, including information on related data sources and methodologies as relevant (e.g. emissions, GDP, population, policy metric, etc.).

### C) Time frames and/or periods for implementation

- Time frame and/or periods for implementation (in accordance with Article 4(10) on common timeframes, to be considered at SBI 47);
- Target year(s);
- If a Party has referred to an absolute emission reduction target: approach used (e.g. specify whether single year target or multi-year emissions trajectory or budget).

### D) Scope and coverage of mitigation commitments

- Sectors, categories, pools and gases covered and definitions used, explaining how indicated sectors and categories are defined with respect to categories from IPCC guidance on national greenhouse gas inventories.

*Increasing comprehensiveness and explanation for exclusion*

- Whether categories of anthropogenic emissions and removals reflect continued coverage of categories covered in previous NDCs;
- How the NDC has considered the encouragement to include all categories of anthropogenic emissions and removals;
- Explanation of why any categories of anthropogenic emissions or removals are excluded.

### E) Planning processes

*Laws, policies, plans and processes relevant for the NDCs*

- Description of planning processes related to the NDC; e.g. development of implementation measures (intended or proposed) institutional responsibilities, stakeholder consultations and other processes to achieve the objectives of the NDC;
- If applicable, how the NDC relates to other development plans or strategies;
- Information about the domestic planning processes that Parties have undertaken to determine their NDC.

*Information relating to long-term low greenhouse gas emission development strategies*

- If applicable, how the NDC relates to the long term strategy submitted under Article 4(19).

## F) Assumptions & methodological approaches including those for estimating and accounting for emissions and removals

### *Information on accounting*

- Information on accounting approach(es) to be used to track progress against the mitigation contribution, in accordance with guidance on accounting adopted by the CMA.

### *Construction of base years/baselines/reference levels including assumptions and parameters*

- If Party has referred to a BAU baseline or scenario:
  - (i) Which policies and measures are included/excluded in the baseline, and on what basis? (e.g. does the baseline include policies/measures adopted up to a specific point in time?);
  - (ii) Assumptions used and sources for data series that form part of the NDC target (e.g. GDP, population, energy use, type of model used if NDC is based on projected values, past trends).

### *Metrics and methodologies used*

- Metrics and methodologies used to estimate emissions (in accordance with methodologies and common metrics assessed by the IPCC and adopted by the CMA).

### *Specific information*

- Intended use of voluntary cooperation under Article 6, in accordance with the guidance decided by the CMA (e.g. intended acquisitions and transfers);
- If the Party has included the land sector in its NDC:
  - (i) Treatment in NDC (e.g. accounting like any other sector, sectoral target);
  - (ii) Accounting approach (e.g. land-based vs. activity-based, in accordance with the guidance decided by the CMA, use of base years/base periods/reference levels, HWP approach used);
  - (iii) Coverage of activities/categories or sub-categories/pools (including HWPs)/fluxes/gases (comprehensive/partial);
  - (iv) Intention to exclude emissions from natural disturbances and provisions to be applied;
  - (v) Information on reference level, if this accounting approach is used, and its relation to the overall baseline.
- If a Party has referred to emission intensity (e.g. emissions per capita or per GDP):
  - (i) Data sources used to calculate the index;
  - (ii) Source and type of GDP used, if applicable;
  - (iii) Past trends;
  - (iv) Projections, if available.
- If a Party has referred to an emission peaking target:
  - (i) Intended date of the peak;
  - (ii) Expected peak emission level, if available;
  - (iii) Expected rate of emissions decline after peak, if available.
- If a party has referred to the implementation of policies and measures (intended or proposed):
  - (i) List of intended or proposed policies and measures to be implemented, with sectors and gases involved;
  - (ii) Implementation milestone;
  - (iii) Estimated emissions impact (if available) and underlying assumption.
- If a Party has referred to achieving carbon/emission neutrality, information explaining the Party's definition of carbon or emission neutrality.

## G) Fairness and ambition

### *Fairness*

- How the Party considers that its nationally determined contribution is fair, in the light of its national circumstances;
- Information on fairness considerations of efforts such as approaches and concepts that the Party has used to operationalise equity and fairness considerations.

### *Ambition*

- Information on how the Party demonstrates that the successive NDC represents a progression beyond the Party's previous NDC as per Article 4(3);
- Information on how the NDC reflects the Party's highest possible ambition reflecting its CBDR-RC in the light of different national circumstances (for example through the use of illustrative indicators);
- Emissions levels or trajectory under the NDC compared to the appropriate counterfactual (e.g. BAU scenario, historic reference year etc.);
- Information on how the Party has addressed Article 4(4) (encouragement to move toward economy-wide targets over time).

## **H) Contribution to the objective of the Convention**

### *Reflection of the global stocktake*

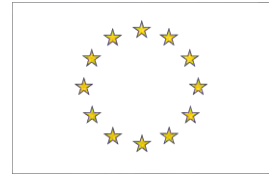
- Information concerning how the NDC has been informed by the previous outcome of the global stocktake in accordance with Article 4(9).

### *Consideration of the contribution to the temperature goal*

- Information on how the NDC takes the temperature goal of the Paris Agreement in to account;
- Information related to intended or proposed domestic mitigation measures that the Party will pursue to implement its NDC in accordance with Article 4(2) (including for example whether and how mitigation co-benefits resulting from Parties' adaptation actions and/or economic diversification plans as referred to in Article 4(7) contribute to mitigation outcomes).

## **I) Intention to act jointly with other countries (Article 4(16))**

- Specific information applicable to Parties that decided to act jointly under Article 4(2), including the Parties that agreed to act jointly and the terms of this agreement.



## SUBMISSION BY ESTONIA AND THE EUROPEAN COMMISSION ON BEHALF OF THE EUROPEAN UNION AND ITS MEMBER STATES

Tallinn 06/10/2017

**Subject:** Views on guidance on cooperative approaches referred to in Article 6, Paragraph 2, of the Paris Agreement;

**Subject:** Views on rules, modalities and procedures for the mechanism established by Article 6, Paragraph 4, of the Paris Agreement;

**Subject:** Views on the work programme under the framework for non-market approaches referred to in Article 6, Paragraph 8, of the Paris Agreement

### Summary of key points

#### **(1) For the guidance on cooperative approaches and the use of internationally transferred mitigation outcomes (ITMOs) under Article 6(2):**

- The guidance should be *inclusive* and apply to *all* Parties willing to acquire or transfer ITMOs,
- ITMOs should be amounts, in CO<sub>2</sub> equivalents, subject to a *corresponding adjustment* to be recorded in the *accounting balance* of the Parties involved and in a *centralised accounting database*,
- Parties using ITMOs should report on the *scope* and *quantification* of their NDC and fulfil *reporting* and *review* requirements, duly coordinated with guidance under Articles 13 and 4(13),
- They should also *report*, in a comparable manner, how sustainable development is being promoted,
- Environmental integrity should be ensured through avoidance of double counting and potential additional rules, to ensure that the use of ITMOs does not result in higher *global* GHG emissions than if the NDCs were achieved only through *domestic* actions,
- Emission reductions generated by the Article 6(4) mechanism, when transferred internationally, should be subject to the guidance under Article 6(2) and to *corresponding adjustments*.

#### **For the rules, modalities and procedures (RMP) for a new mechanism under Article 6(4):**

- Host Parties should report on the *scope* of eligible activities, how they contribute to implement their NDC and how they are guided by their domestic mitigation objectives,

- They should also report on promotion of sustainable development and conformity with their respective obligations on human rights,
- The mechanism should contribute to a shift to *low emission pathways* and should incentivise the increase of *scope* and *ambition* of NDCs over time,
- The supervisory body should have a *strategic* role and be assisted by technical panels,
- The decision making process should be transparent, include local stakeholder consultations, rights for hearings, and a prompt referring of human right issues to relevant UN bodies,
- The baselines approaches should be based on ambitious *benchmarks* reflecting best available technologies,
- The mechanisms defined under the Kyoto Protocol shall *not* continue after the end of the second commitment period, and any existing activities will need to be re-assessed in accordance with the RMP under Article 6(4).

**For the work programme under the framework for non-market approaches under Article 6(8):**

- The non-market approaches eligible for consideration under the framework should comply with the three 'aims' expressed in Paragraphs (a), (b) and (c) of Article 6(8) and should have a *non-tradable* nature,
- They should be available to Parties to assist them in the implementation of their NDC, in the context of sustainable development and poverty eradication,
- The work programme described in Paragraph 39 of Decision 1/CP.21 should follow a step-wise approach: (1) identify *existing* instruments, (2) identify existing *linkages*, (3) identify opportunities for *enhancement* of existing linkages, (4) *assess* previous steps and draw conclusions, and (5) proceed to the *enhancement* of linkages and synergies,
- Any duplication of work under the UNFCCC and other fora should be avoided.

All decisions related to Article 6 should be adopted by December 2018. In this regard, we should have, before SBSTA 48, a new call for submissions, some technical work and workshops, and the SBSTA chair should have a mandate to provide draft text.



## I. INTRODUCTION

The EU is pleased to provide its views on the issues contained in Paragraph 5 of the conclusions from SBSTA 46 on:

- The guidance on cooperative approaches referred to in Article 6(2);
- The rules, modalities and procedures for the mechanism established by Article 6(4);
- The work programme under the framework for non-market approaches referred to in Article 6(8).

Our submission covers all three agenda items, to maximise synergies between them, and is structured around the issues listed in the SBSTA 46 conclusions, i.e. the '*content*', '*including the structure and areas, issues and elements to be addressed, including those raised by Parties at SBSTA 46*'.

We already submitted our views on Articles 6(2), 6(4) and 6(8) in our respective previous submissions from October 2016 and March 2017. They address issues and questions that remain relevant to our ongoing discussion<sup>1</sup>.

We welcome the invitation now to put a particular focus on *content, structure, areas, issues and elements to be addressed*, drawing on the informal information note of the co-facilitators, noting that their note reflects issues raised in discussion rather than any agreement on the subject.

For the negotiations to proceed in an orderly and efficient manner, we should address issues clearly reflected in Article 6 of the Paris Agreement, and focus on the core elements of the decisions to be taken in December 2018, while more detailed technical issues can be addressed later on.

For the present submission we took the headings from the co-facilitators informal note as a guide, on which we have the following observations.

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<sup>1</sup> Hyperlinks: [EU submission on art. 6.2, 6.4 and 6.8, 21.03.2017](#), [EU submission on art. 6.2, 7.10.2016](#), [EU submission on art. 6.4, 7.10.2016](#), [EU submission on art. 6.8, 7.10.2016](#)



II. 'CONTENT' OF THE DRAFT DECISION, INCLUDING THE 'STRUCTURE AND AREAS, ISSUES AND ELEMENTS TO BE ADRESSED, INCLUDING THOSE RAISED BY PARTIES AT SBSTA 46'

**2.1 – For the guidance on cooperative approaches referred to in Article 6, Paragraph 2**

The decision on the guidance on cooperative approaches should be adopted by COP24/CMA1 in December 2018. Its content and structure could build on the following elements taken from the informal information note by the co-facilitators.

**A. Overarching issues**

This section of the guidance can be short and form a preamble to the ultimate guidance. It should be drafted once the main substance of the guidance is agreed, on the basis of the agreed wording of the Paris Agreement.

**B. Definitions**

This section of the guidance should define key concepts and elements, once substantive guidance is agreed.

**C. Scope and applicability of guidance for Article 6(2)**

The guidance should apply to all parties participating in cooperative approaches involving the use of internationally transferred mitigation outcomes (ITMOs) when they are used towards nationally determined contributions (NDCs). The guidance therefore needs to be *inclusive* and applies both to the acquiring and transferring parties, and regardless of NDC type of the Parties involved.

As explained below and in our previous submission, we consider that emission reductions under Article 6(4) are subject to the guidance under Article 6(2), including the application of corresponding adjustments, if internationally transferred and used towards NDCs.

**D. Governance**

The requirements of Article 6(2) will engage the following multilevel governance:

- The Parties:
  - to indicate their *approval* under Article 6(3),
  - to fulfil both substantive and *reporting* requirements to be elaborated under this guidance,
- A *centralised accounting database* maintained by the Secretariat and defined and elaborated in the guidance with the functions of:

- facilitating transparency and accountability,
  - enabling corresponding adjustment to occur in accordance with the guidance,
- The reporting and review system to be elaborated under Article 13,
- The facilitative compliance system to be elaborated under Article 15.

## E. Participation

All parties participating in cooperative arrangements involving the use of ITMOs towards parties' NDCs will have to fulfil the requirements from the Article 6(2) guidance. This includes those requirements on reporting and on accounting, and those needed to promote sustainable development and to ensure environmental integrity, also in line with the more general principles established in Articles 2, 3 and 4 of the Paris Agreement.

## F. Internationally transferred mitigation outcomes in Article 6(2)

We consider *internationally transferred mitigation outcomes* (ITMOs) to be amounts, denominated in CO<sub>2</sub> equivalents, intended for use towards NDCs, transferred subject to the agreement of Parties involved on the basis of the guidance elaborated under Article 6(2). The use of an ITMO occurs when a *corresponding adjustment* is duly recorded, following *reporting* and *review*, in the accounts of the relevant Parties, in a *centralised accounting database*.

## G. Robust accounting

In accordance with relevant guidance, we consider that robust accounting for activities under Article 6(2) requires that:

- Parties participating have reported:
  - the information on the *scope* and *quantification* of its NDC in tonnes of CO<sub>2</sub> equivalent (i.e. its '*NDC quantity*'),
  - the information on the *level of emissions and removals* for the relevant year or period,
  - its *accounting balance* for the relevant year or period, comprising emissions and removals also covered by its NDC,
  - the information on *transfers* and *use* of ITMOs by Party and by year,
  - Other relevant information (i.e. on *registry systems* where required);
- The reported information is being *reviewed* prior to its recording;
- The reviewed information is being *recorded* in a *centralised accounting database* for the purpose of tracking progress and accounting for an NDC, which includes:
  - the information on the *scope* and '*NDC quantity*' in CO<sub>2</sub> equivalent,
  - the information on its current *level of emissions and removals* covered by its NDC,

- the *accounting balance* determined in accordance with guidance on the basis of reported emission and removals covered by each participating Parties NDC,
- the *corresponding adjustments* to the accounting balances of participating parties in accordance with guidance on corresponding adjustment, in respect of emissions and removals covered by the NDCs of the participating Parties, and based on reported ITMOs by those Parties.

The relevant guidance should, by providing for reporting, review, recording and updating of information, enable all Parties both to track progress, and account for use of ITMOs. The process of recording and regular updating of information, should be focused on delivering corresponding adjustment to the relevant accounting balances of participating Parties, in the accounting database.

Guidance on corresponding adjustment shall specify how and when corresponding adjustments occur in respect of reported ITMOs.

#### **H. Ensuring environmental integrity**

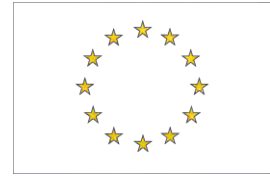
We consider that the principle of ensuring environmental integrity as mentioned in Article 6(1) and 6(2) reflects the more general principles that are established by Articles 2 (on the long-term goal), by Article 3 (on progression over time) and by Article 4 (on NDCs and accounting).

In order to ensure environmental integrity, we will have to ensure that the guidance under Article 6(2) '*allows for higher ambition*' (Article 6(1)), that each Party's successive NDC '*represent a progression*' and '*reflect its highest possible ambition*' (Article 4(3)), and that Parties '*move over time towards economy wide emission reductions*' (Article 4(4)).

Parties shall ensure environmental integrity, inter alia, by measures to avoid double counting, which include:

- The *quantification* of NDCs through the reporting process,
- The quantification of an *accounting balance* based on actual emissions through the reporting process,
- The *adjustment* of the accounting balance in accordance with guidance on accounting and corresponding adjustment provisions,
- A *centralised review and recording* prior to recording and updating of information in the accounting database,
- The use of a *registry system* subject to common rules (either through a single centralised registry, or multiple registries operating as a system).

In addition to those measures to avoid double counting, additional rules may be needed. The guidance under Article 6(2) should ensure that the use of ITMOs does *not* result in higher



global GHG emissions than if the NDCs were achieved only through *domestic* mitigation actions.

In this regard, all the measures and potential rules forming the guidance under Article 6(2) need to ensure environmental integrity.

### **I. Promoting sustainable development**

In New York in September 2015, all Parties have adopted a set of goals to end poverty, protect the planet and ensure prosperity for all as part of a new sustainable development agenda. Therefore, all Parties should undertake activities and approaches that are in conformity with the Sustainable Development Goals (SDGs).

Parties should *report*, in a comparable manner, how sustainable development is being promoted through cooperative approaches involving the use of ITMOs towards NDC.

### **J. Transparency**

The guidance should include *reporting obligations* in respect of:

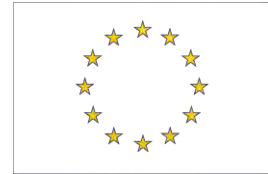
- Authorisation of use of ITMOs by Parties as specified under Article 6(3),
- Information on the cooperative arrangement in respect of which ITMOs are transferred including:
  - Arrangements for generation, allocation and transfer of ITMOs between Parties,
  - Governance arrangements and
  - Transparency arrangements,
- Reporting for the purpose of robust accounting as specified in Section G above,
- Reporting for the purpose of ensuring environmental integrity and promoting sustainable development in accordance with Sections H and I above.

### **K. Infrastructure**

Robust accounting and transparency could be facilitated through the provision for a centralised registry or system of registries established for the purpose of recording the generation, transfer and use of ITMOs by Parties, operating in accordance with common accounting requirements.

### **M. Interlinkages**

Accounting requirements and transparency requirements will need to be consistent with and build on requirements '*to account for*' and '*track progress towards*' NDCs to be established under Articles 4(13) and 13(7). To be effective, robust accounting may require further careful consideration of the timing and scope of information to be included in reports under Article



13(7). As already stated, emission reductions generated under Article 6(4) should be governed by requirements for robust accounting established under Article 6(2).

## **2.2 – For the rules, modalities and procedures of the mechanism established by Article 6, Paragraph 4**

The decision containing the rules, modalities and procedures (RMP) for the mechanism under Article 6(4) should be adopted by CMA 1 in December 2018. Its content and structure could build on the following elements taken from the informal information note by the co-facilitators.

### **A. Overarching issues**

This section of the decision can be short and form a preamble to the ultimate RMP. It should be drafted once the main substance of the RMP is agreed, on the basis of agreed wording of the Paris Agreement.

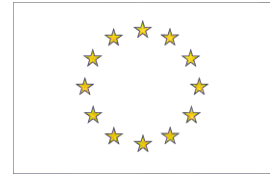
### **B. Definitions**

This section should define key concepts and elements, once substantive elements of the RMP are agreed.

### **C. Scope and applicability of RMP for Article 6(4)**

The use of emission reductions generated under Article 6(4) when transferred internationally should be subject, at a minimum, to the requirements of the guidance under Article 6(2) by both Parties involved, including a *report* identifying the *scope* of their NDC and their '*accounting balance*'. Emission reductions verified and certified under Article 6(4) should be subject to a corresponding adjustment if they are internationally transferred and used towards NDCs, ICAO or any other offset scheme obligations.

In order to facilitate host parties in delivering on their domestic objectives, participation in the mechanism should also require the host to define the *scope* of activities covered by the mechanism, and a clear identification of their proposed contribution to the mitigation objectives of the host party. This would enable the mechanism to promote mitigation, and ensure that the host party benefits from credited activities. We underline that the surplus (non-credited) part of emission reductions will remain with the host Party, where the activity is covered by and under its NDC, for the achievement of its NDC. However, this is not obviously the case where the activity takes place outside the NDC. We propose that only activities inside the scope of the NDC should be credited, noting that parties can update their NDC at any time.



There is a need to further evaluate how to keep incentives to increase scope and ambition of NDCs while using Article 6.

In line with the long-term goal of the Paris Agreement, the operation of the mechanism should contribute to a shift to a low emission pathway and sustainable transformation.

#### **D. Governance**

The governance of the mechanism should comprise the following elements:

- A supervisory body under the authority of the CMA (Article 6(4), Chapeau),
- Parties using the mechanism on a voluntary basis (Article 6(4), Chapeau),
- Parties authorising participation of public and private entities (Article 6(4)(c)),
- Designated operational entities verifying and certifying emission reductions resulting from mitigation activities (Para 37(e) of Decision 1/CP.21).

The supervisory body should have a strategic role, and may be assisted in its work by technical panels established under its guidance and authority. We will need to consider further how the body is constituted, nominated and elected, including in particular how to reinforce its supervisory and strategic role, ensure its representativeness, including gender balance, and the independence of its members.

Modalities and procedures should ensure the transparency of decision-making processes at all levels, local stakeholder consultations, the rights of directly affected entities to hearings prior to decision-making, that issues linked to human rights are promptly referred to relevant UN bodies, and timely decisions.

To be in line with the preamble of the Paris Agreement (*'Parties should respect, promote and consider their respective obligations on human rights'*), the modalities under Article 6.4 should also reflect this request. Host Parties should therefore confirm that activities are in conformity with their respective obligations on human rights.

In addition, since all Parties have adopted in New York in September 2015 a set of goals to end poverty, protect the planet and ensure prosperity for all as part of a new sustainable development agenda, host Parties should also confirm that activities are in conformity with the Sustainable Development Goals (SDGs).

Parties should *report* on the contribution of activities to sustainable development and make public the set of criteria that was used. In this regard, a tool to assess the contribution of activities to SDGs should be adopted, to define comparable standards and indicators.

#### **E. Aspects of activity**

Several principles related to the crediting of activities should govern the elaboration of the RMP for the mechanism under Article 6(4):

- The *scope* and *nature* of the activities covered must be defined by the host party to ensure credited activities are in line with its domestic policies and priorities (Article 6(4), Chapeau, and Paragraph 37(a) of Decision 1/CP.21),
- The *baseline approaches* should be based on ambitious benchmarks reflecting best available technologies (BAT) and enable the host Party to contribute to its mitigation objectives while also allowing the emission reduction credited to be used by another Party to fulfil its NDC (Article 6(4)(c));
- The *crediting approaches* should also ensure the permanence of emission reductions and avoid technological lock in;
- The *crediting periods* should also enable Parties to ensure alignment of crediting periods with mitigation objectives, in particular with the timescale of their NDC, in order to avoid disincentives to higher ambition or progression.

The promotion of mitigation requires that individual and collective ambition, as reflected in current NDCs and incentives to extend and increase the ambition of NDCs, are not undermined. The baseline approaches derived by default from historic or projected emissions could undermine a host Party ability to meet its own NDC, by generating an expectation of crediting levels inconsistent with that Party NDC and overall mitigation strategy.

Provision for automatically updated or dynamic baselines could contribute to ensuring progression and ambition and continuing benefits for the host Party.

## **F. Activity cycle**

The division of functions between the international and national level will need to be reconsidered, and be reflected in the activity cycle. To facilitate Parties in implementing their NDCs and broader mitigation strategies, procedures will need to ensure that host Parties have an opportunity to:

- Define the *scope* of activities covered by the mechanism,
- Ensure the use of the mechanism is guided by their domestic mitigation objectives,
- Approve participation in activities by public and private entities.

The Supervisory Body will need to ensure that:

- Participation is voluntary and activities are approved by Parties,
- Activities are within the approved scope,
- Baselines approaches and methodologies fulfil the requirements outlined in section E. above;



- The verification and certification of emission reductions, and the accreditation of designated operational entities validators meet the highest standards.

### **G. Share of proceeds**

The level of the Share of Proceeds from Article 6(4) should be set at a level which meets administrative costs of the mechanism, and makes a contribution to assist developing countries that are particularly vulnerable to the adverse effects of climate change to meet the costs of adaptation. It should not be set at a level that impacts the feasibility of projects.

The Share of Proceeds should be imposed only once (potentially on the first transfer).

### **H. Overall mitigation in global emissions**

In relation to Article 6(4)(d), it should be ensured that the mechanism delivers an *overall mitigation*. The determination and assessment of this overall mitigation needs clarification. We consider that this concept expresses support for the application of accounting rules, for a provisions to ensure an own contribution by the host Party, and for a potential net-benefit for the atmosphere.

### **I. Accounting**

Article 6(5) confirms that emissions reductions under the mechanism cannot be used twice (by both the host Party and another Party). We consider that Article 6(2) provides a system to ensure that this is not the case.

Article 6(5), when considered with Article 6(4)(c), also confirms that the benefits accruing to Parties participating in the mechanisms do not result in double counting.

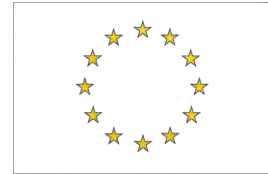
### **J. Interlinkages**

There are interlinkages with Articles 4(3) and 4(4), so the RMP of the mechanism should ensure that Parties' successive NDCs represent a '*progression*' and '*the highest possible ambition*', and that parties '*move over time towards economy-wide emission reduction or limitation targets*'.

There is a need for coherence with related items, including the enhanced transparency framework, accounting rules under Article 4(13) and its reference to obligations '*to account for their NDCs*' and to '*promote environmental integrity, transparency, completeness, comparability and consistency, and ensure the avoidance of double counting*'. Further links to be considered include features, accompanying information, compliance and registry.

There are also interlinkages with Article 13(7) and its reference to obligations to regularly provide a '*national inventory report*' and in particular the '*information necessary to track progress made in implementing and achieving its NDC*';





In relation to Articles 4(2), 4(3) and 4(4), since the mechanism will operate within different types of NDCs (some are not quantified and some are conditional), different rules will be needed to reflect different situations.

## **K. Transitional issues**

With the mechanism under Article 6(4) established, we underline that the mechanisms defined under the Kyoto Protocol shall *not* continue after the second commitment period. The Paris Agreement makes no provision for transition from the Kyoto Protocol. Rather, it identifies that RMP should be based on the experience gained and lessons learned in respect of existing mechanisms and approaches.

Substantive discussion of any transitional arrangements for ongoing mitigation activities under the KP mechanisms should only occur on the basis of agreement on the core elements of the implementing rules under Article 6(4) (noting that accounting, baseline approach, additionality and environmental integrity will form part of these core elements).

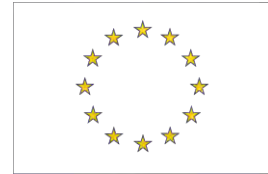
Rather than prioritising the role of existing mitigation activities operating under assumptions that predate the Paris Agreement, we should prioritise consideration of the new RMP during the current phase of the negotiation.

Existing or ongoing activities would have to be re-assessed in accordance with the rules of Article 6(4) in order to be credited under Article 6(4). The additionality and baselines approaches will need to be re-assessed in accordance with Article 6 requirements, and updated in light of the host Party's NDCs. National priorities may have changed and assessments based on BAU projections or historical emissions may be inconsistent with, or even undermine, a host Party ability to meet its NDC.

### **2.3 - For the framework for non-market approaches to sustainable development defined in Article 6, Paragraph 9**

The decision on the work programme under the framework for non-market approaches should be adopted by CMA 1 in December 2018. Its content and structure could build on the following elements, taken from the informal information note by the co-facilitators.

#### **A. Overarching issues**



This section of the decision could be short and form a preamble to the work programme. It should be drafted once the work programme has been agreed, on the basis of agreed wording of the Paris Agreement.

## **B. NMAs under the framework**

This section of the decision could provide the definitions needed to identify the relevant non-market approaches (NMAs) to be considered under the work programme. Such approaches are defined by their holistic, integrated and balanced non-market nature. Article 6(8) already defines the three 'aims' of these NMA: (a) *promote mitigation and adaptation ambition*, (b) *enhance public and private sector participation*, and (c) *enable opportunities for coordination across instruments and relevant institutional arrangements*. In order to be relevant under this agenda item, an NMA should comply with all (a), (b) and (c).

This section could also include a reference to the *non-tradable nature* of the outcomes and the request to *avoid duplication* of work under the UNFCCC and other fora.

## **C. Governance of the framework**

This section of the decision should elaborate on the possible activities and institutional arrangements relevant for the framework to *enhance linkages and create synergies* between identified NMAs, while avoiding duplication. How this will be operationalized should be discussed and identified during the work programme.

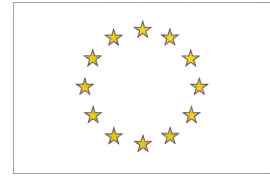
## **D. Functions of the framework**

As indicated in Article 6(9), the function of the framework is to *promote the NMA referred to in Article 6(8)*. This function will be accomplished through the fulfilment of the work programme and its 5 steps, as described in Section E below.

## **E. Work programme activities**

In order to achieve the objective contained in Paragraph 39 of Decision 1/CP.21 and to promote the NMA, this section of the decision should list the different steps to be undertaken by the work programme. The work programme should follow the 5 steps below:

- Step 1: identify which are the *existing non-market instruments* relevant for this agenda item;
- Step 2: identify the *existing linkages, synergies, coordination and implementation* already occurring between those instruments and positive experiences;
- Step 3: identify *opportunities for the enhancement* of existing linkages, creation of synergies, coordination and implementation of non-market approaches;
- Step 4: assess the *results of the previous steps* and draw conclusions on how to enhance existing *linkages and create synergies*;



- Step 5: proceed to the practical *enhancement of linkages and creation of synergies* through some relevant governance of the framework for non-market approaches while avoiding duplication.

## **F. Modalities of the work programme**

This section is key for the decision to be adopted in December 2018. Indeed, the core objective of this decision is to define the objective/deliverables, the five steps, the modalities and the timeline of the work programme described in Paragraph 39 of Decision 1/CP.21. Enough time should be dedicated to discuss about these modalities during SBSTA 47.

## **G. Transparency**

One additional objective/deliverable of the work programme mentioned above could be to recommend guidance on transparency and reporting when Parties are using NMA under the framework.

## **H. Interlinkages**

There are many interlinkages with other agenda items as shown by the informal information note of the co-facilitators. However, duplication of work should be avoided. If duplication is identified, this should be addressed and referred to the agenda item where the topic is already being addressed.

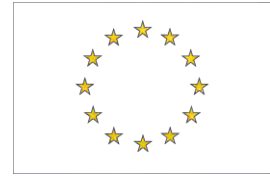
### **III. CONCLUDING REMARKS**

#### **On the timeline**

To provide certainty for Parties and practitioners, all the decisions related to the voluntary cooperation under Article 6 should be finalised by COP24 (December 2018). They should be adopted together with other implementing rules of the Paris Agreement (in particular because they are closely linked with many other issues), to facilitate cooperation between Parties, and thereby to incentivise Parties to be more ambitious in their next NDC.

Due to the technical and cross-cutting nature of items under Article 6, submissions, technical papers and workshops will be necessary to achieve a common understanding of the issues, to identify options, and to make timely progress. The method of work should allow for meaningful utilisation of existing expertise and knowledge.

In addition, we should give a mandate to the SBSTA chair to provide draft texts as basis for negotiations at SBSTA 48, outlining core elements and key features of the elements to be included in the decisions to be taken by COP24.



### On the round table

We look forward to further discussion during the round table in November, which we believe should focus on key elements and options for their operationalization. Regarding Article 6(2), we should focus on the necessary reporting, accounting and governance arrangements to secure robust accounting at national and international level. Regarding Article 6(4), we suggest focusing on the necessary governance, and design features which maintain, facilitate and enhance ambition, and in particular how a host NDC is reflected in the mechanism, including through baselines and baseline approaches. Regarding Article 6(8), we could focus on core elements of the draft decision, which are the modalities of the work programme.

We note also the range of existing submissions, including in particular technical submissions from non-parties with technical expertise, that can inform both formal and informal discussion, including the round table discussion.

### On next steps

We look forward to further discussion amongst parties at the next session, with a view to prioritising our work towards a successful conclusion in 2018.

**SUBMISSION BY THE REPUBLIC OF ESTONIA AND THE EUROPEAN COMMISSION ON BEHALF OF THE EUROPEAN UNION AND ITS MEMBER STATES**

**This submission is supported by Albania, Bosnia and Herzegovina, the Former Yugoslav Republic of Macedonia and Serbia.**

Tallinn, 11/09/2017

**Subject: Information on lessons learned and good practices in relation to adaptation actions and plans that could enhance economic diversification and have mitigation co-benefits**

**Summary of key points**

- Economic diversification has been identified by the EU and its Member States as an effective and efficient adaptation action for vulnerable sectors and there are already practical experiences with this approach.
- Scientific findings, in particular from the IPCC but also from UNFCCC activities have been helpful in designing adaptation activities for vulnerable sectors related to economic diversification.
- Given the expected further increase in global average temperature the EU notes that economic diversification in order to address climate change risks will become even more relevant in the future.
- Any such activities should be integrated into the broader sustainable development agenda addressing not only environmental but also economic and social goals.

I. Introduction

1. The European Union and its Member States (EU) welcome the opportunity to submit its views on lessons learned and good practices in relation to adaptation actions and plans that could enhance economic diversification and have mitigation co-benefits.
2. With examples of relevant activities on economic diversification in the context of adaptation to the impacts of climate change we would like to showcase how the EU and its Member States are aiming to tackle the challenges posed.

3. We would also like to recall respective conclusions<sup>1</sup> in relation to economic diversification as well as remind Parties that this topic has already been addressed in relation to adaptation action by the EU in submissions<sup>2</sup> under the NWP.
4. We would also like to recall the fifth Assessment Report of the IPCC as well as other sources of information which provide valuable insights on transformational processes. In our view it is worth highlighting that in the real world climate-resilient pathways which include transformational changes don't only depend on economic but also social, technological, and political decisions and actions.

## II. Context

5. The Paris Agreement's central aim is to strengthen the global response to the threat of climate change by keeping a global temperature rise this century well below 2 degrees Celsius above pre-industrial levels and to pursue efforts to limit the temperature increase even further to 1.5 degrees Celsius. The average global temperature is currently around 1.0°C above pre-industrial levels and continues to rise. The consequences of this climate change are increasingly being felt in Europe and worldwide. Although impacts vary across the EU all Member States are exposed to climate change and respective actions have been triggered across the EU at different levels and sectors.
6. In this context, we recognize the need for adaptation actions that go beyond incremental adaptation and countries start implementing transformative adaptation actions such as economic diversification to increase resilience, enhance adaptive capacity and reducing vulnerability in view of a sustainable development of the different economic sectors.
7. The EU has a longstanding experience in designing and implementing climate policies to drive the transition to a low greenhouse gas emission and climate resilient economy, while boosting Europe's economy thanks to the development of clean technologies and low- or zero-carbon energy, and spurring growth and jobs. The EU attaches great importance to economic diversification and transformation and just transition of the workforce and the creation of decent work and quality jobs in the development of our climate policy.
8. Examples of economic diversification brought about by climate change adaptation can be approached from two different perspectives:
  - Adjusting sectors to the impacts of climate change through the development of new practices, technologies (e.g. satellite based information, digital applications, precision agriculture, enhanced irrigation techniques, choice of crops, development of new materials resistant to heat, water permeable, etc.);
  - Reducing reliance on vulnerable sectors, which would imply changes in business activities (e.g. promotion of innovative technologies and infrastructure; new economic activities arising from the transition to a low carbon economy, diversification of the tourism base by, e.g., enhancing complementarity between summer and winter tourist seasons) and call for managing the social impacts of climate change on economic activities (e.g. insurance, assessment of climate change impacts on employment and alternative livelihood programmes, social safety nets, skills development and training etc.).

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<sup>1</sup> <http://unfccc.int/resource/docs/2009/sbsta/eng/07.pdf>

<sup>2</sup> See documents FCCC/SBSTA/2007/MISC.15 (September 2007) and FCCC/SBSTA/2009/MISC.6 (April 2009).

9. We encourage and support the development of new economic opportunities offered by the transition towards a low-carbon and climate resilient economy at both the policy and project level. However, care must be taken in identifying and implementing economic diversification options to avoid mal-adaptation: for instance, snow-making is water and energy intensive; the grooming of ski slopes can reduce slope stability, while moving ski operations to higher altitudes can have adverse impacts on fragile environments<sup>3</sup>. Economic diversification has also implications for employment, both in terms of number of jobs as well as types and distribution. Accompanying economic diversification options with complementary policies – such as educational/retraining programmes to match the new skills required – can enhance their effectiveness.

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<sup>3</sup> [https://ec.europa.eu/clima/sites/clima/files/adaptation/what/docs/climate\\_change\\_employment\\_eu\\_en.pdf](https://ec.europa.eu/clima/sites/clima/files/adaptation/what/docs/climate_change_employment_eu_en.pdf)

## Annex – examples

### European Union

The **EU Smart specialisation strategy** recognises in its "*Guide to Research and Innovation Strategies for Smart Specialisations (RIS 3)*"<sup>4</sup> that climate change expected impacts should be informing smart specialisation decisions and that the transformation to a low-carbon society may open new opportunities (see green growth section).

The **EU Circular economy package**<sup>5</sup> also promotes a more efficient use of resources. The development of water reuse, for example, is seen as a measure that can help lower the pressure on freshwater resources – hence contribute to the adaptation of the sector – while at the same time providing a market opportunity for EU industry with a strong eco-innovation potential.

In April 2016, the Commission published the Inception Impact Assessment<sup>6</sup> on the initiative "*Minimum quality requirements for reused water in the EU (new EU legislation)*" that sets out in greater detail the background, the policy objectives and options as well as their likely impacts.

The third objective of the 2013 **EU Adaptation Strategy**<sup>7</sup>, promoting adaptation in key vulnerable sectors, encourages the **use of insurance** against natural and man-made disasters by promoting insurance and other financial products for resilient investment and businesses. The EU recognises that disaster risk insurance is an important element for climate adaptation since it provides a strong financial incentive to acknowledge climate risk, and it translates the interplay between solidarity (large groups of people sharing risks) and risk management (taking local, individual measures when exposed to risk) into a financial, sometimes even economic discussion. As such insurance has its place in disaster risk management (prevention and protection, preparedness, response and recovery) and disaster risk reduction. This includes addressing resilience of small, medium and big businesses in both developed and developing countries, which is why the EU supports the G7 InsuResilience initiative.

The banking and insurance sector are looking for investment opportunities in resilience. The financial sector also brings about the question of financial sustainability in disaster and climate risk management. The mid-term review of the Capital Markets Union Action Plan<sup>8</sup> foresees that the European Commission High-Level Expert Group on Sustainable Finance (HLEG) will publish a final report including recommendations on sustainable finance in December 2017. In HLEG's mid-term report that was published on 13 July, the first steps to support investment in sustainable and resilient infrastructure, for example, have been explained.

Insurance and other financial products can reduce the risks associated with investments in the face of climate change. If designed with this objective in mind, they could also favour diversified investments that lower risk profiles.

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<sup>4</sup> [http://ec.europa.eu/regional\\_policy/sources/docgener/presenta/smart\\_specialisation/smart\\_ris3\\_2012.pdf](http://ec.europa.eu/regional_policy/sources/docgener/presenta/smart_specialisation/smart_ris3_2012.pdf)

<sup>5</sup> [https://ec.europa.eu/commission/priorities/jobs-growth-and-investment/towards-circular-economy\\_en](https://ec.europa.eu/commission/priorities/jobs-growth-and-investment/towards-circular-economy_en)

<sup>6</sup> [http://ec.europa.eu/smart-regulation/roadmaps/docs/2017\\_env\\_006\\_water\\_reuse\\_instrument\\_en.pdf](http://ec.europa.eu/smart-regulation/roadmaps/docs/2017_env_006_water_reuse_instrument_en.pdf)

<sup>7</sup> <http://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:52013DC0216&from=EN>

<sup>8</sup> COM(2017) 292 final



## ***Macro-regional strategies***

Macro-regional strategies are an important tool of implementing adaptation action across countries. Macro-regional co-operation addresses common challenges (e.g. innovation driven growth, transport, connectivity, environment, climate and risk prevention) shared by various regions and Member States. There are four EU level macro-regional strategies currently in place: Baltic Sea Region<sup>9</sup>, Danube<sup>10</sup>, Alpine<sup>11</sup> and Adriatic and Ionian<sup>12</sup>.

### ***Alps adaptation plan and Isere adaptation plan***

The Alpine Action plan on climate change<sup>13</sup> provides that increasing the diversification of the touristic offer is an option to address climate change, for both, mitigation and adaptation. In particular, the main objective of the action plan for the tourism sector is to adapt winter tourism and diversify the tourism offer, to be achieved with measures such as:

- Support local authorities which diversify their activities and offer an alternative to Alpine skiing in winter, and spread the information in order to attract new customers.
- Aim at a better complementarity between summer and winter tourist seasons by favouring inter-seasonal tourism.

Several initiatives have been identified to implement the strategy: creation of leisure parks, adventure playgrounds, education trails, outdoor activities and sports (climbing, mountain bike trails, roller ski trails, orienteering courses, theme routes, via ferrata, equestrian activities), and creation of cultural facilities such as cinemas and museums. Other measures are aimed at improving the offer of spa resorts and supporting services to the workforce (child care, recreational centres).

## **Program/Project level**

The **Horizon 2020 research programme on climate action, environment, resource efficiency and raw materials**<sup>14</sup> is a key instrument for projects contributing to economic diversification while enhancing our adaptive capacity.

The 2016-2017 work programme for instance foresees support for the **development of climate services** defined as: *'the transformation of climate-related data – together with other relevant information – into customised products such as projections, forecasts, information, trends, economic analysis, assessments (including technology assessment), counselling on best practices, development and evaluation of solutions and any other service in relation to climate that may be of use for society at large'*. Climate services target both adaptation and mitigation to climate change. The development of climate services will open broad market opportunities both to public and private operators to provide customised, high added-value services to a variety of users in relation to the risks and opportunities that climate change may bring to businesses, administrations and citizens.

For instance, **BRIGAIID** (Bridging the Gap for Innovations in disaster resilience)<sup>15</sup> is a 4-year project (2016-2020) under EU Horizon2020 aimed at effectively bridging the gap between innovators and end-users in resilience to floods, droughts and extreme weather, helping connect researchers, innovators and incubators that develop innovative products and services to reduce the increased climate change risks to the markets.

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<sup>9</sup> <https://www.balticsea-region-strategy.eu/>

<sup>10</sup> <https://www.danube-region.eu/>

<sup>11</sup> <https://www.alpine-region.eu/eusalp-eu-strategy-alpine-region>

<sup>12</sup> <http://www.adriatic-ionian.eu/>

<sup>13</sup> 130 Alpine Convention (2009) ACTION PLAN ON CLIMATE CHANGE IN THE ALPS. Available at [http://www.alpconv.org/en/ClimatePortal/Documents/AC\\_X\\_B6\\_en\\_new\\_fin.pdf](http://www.alpconv.org/en/ClimatePortal/Documents/AC_X_B6_en_new_fin.pdf)

<sup>14</sup> [http://ec.europa.eu/research/participants/portal/desktop/en/funding/reference\\_docs.html#h2020-work-programmes-2016-17](http://ec.europa.eu/research/participants/portal/desktop/en/funding/reference_docs.html#h2020-work-programmes-2016-17)

<sup>15</sup> <http://brigaid.eu/>

Examples of innovations supported include: development of porous and permeable pavement blocks; development of a real-time monitoring system for the water system for freshwater irrigation; optimisation, software development for determining dike profiles.

The **LIFE programme**<sup>16</sup> best practice, pilot or demonstration projects pitch in for testing and implementing innovative approaches to adaptation. These projects are often addressing sustainable agriculture, forestry or tourism and their economic diversification potential and mitigation co-benefits. Examples:

- LIFE SUSTAINHUTS<sup>17</sup> demonstrates the energy resilience of mountaineering tourism infrastructure. This project is working on sustainable, nearly zero-emission mountain huts powered by renewables in four European countries.
- LIFE CLINOMICS<sup>18</sup> aims to boost the competitiveness of farming, forestry, fishing and tourism businesses in the Province of Barcelona through investment in climate change adaptation.
- LIFE AgroClimaWater<sup>19</sup> promotes water efficiency and supports the shift towards a climate resilient agriculture in Mediterranean countries
- LIFE IRIS - Improve Resilience of Industry Sector<sup>20</sup> aims at supporting SMEs in becoming more resilient to climate change by means of adaptation measures. The project also aims to define opportunities for new green products and jobs related to the adoption of climate adaptation measures. (2015-2019).

The **Natural Capital Financing Facility (NCFF)**<sup>21</sup>, funded by the LIFE Programme, provides direct and indirect financing for natural capital investment projects. Financing may consist of loans or equity. The NCFF finances upfront investment and operating costs for revenue-generating or cost-saving projects which promote the conservation, restoration, management and enhancement of natural capital that contribute to the Union's objectives for biodiversity and climate change adaptation, e.g. through ecosystem-based solutions to challenges related to land, soil, forestry, agriculture, water and waste. The facility is implemented by the European Investment Bank (EIB) but does not provide grant based financial support.

The added value of the NCFF is to address current market gaps and barriers to the private financing of projects in the field of biodiversity and climate change adaptation. NCFF aims to develop a pipeline of projects that encourage greater uptake of such investments by the market.

One of the NCFF project categories is for 'pro-adaptation' or 'pro-biodiversity' businesses in the field of sustainable forestry, agriculture, aquaculture and eco-tourism. For example, '*Rewilding Europe*', which is the first project supported by the NCFF, is a EUR 6 million loan to Rewilding Europe Capital. It will provide support for over 30 nature-focused businesses across Europe. The project will work on countering socio-economic impacts caused by rural land abandonment, support rewilding processes and activities in Europe and deliver economic returns from nature and wildlife related sectors that also work to conserve natural landscapes, capital and rural cultures and heritage connected to them.

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<sup>16</sup> LIFE is the EU's financial instrument supporting environmental, nature conservation and climate action projects throughout the EU: <http://ec.europa.eu/environment/life/project/Projects/index.cfm?fuseaction=home.getProjects&themeID=111>

<sup>17</sup> [http://ec.europa.eu/environment/life/project/Projects/index.cfm?fuseaction=search.dspPage&n\\_proj\\_id=5660](http://ec.europa.eu/environment/life/project/Projects/index.cfm?fuseaction=search.dspPage&n_proj_id=5660)

<sup>18</sup> [http://ec.europa.eu/environment/life/project/Projects/index.cfm?fuseaction=search.dspPage&n\\_proj\\_id=5664](http://ec.europa.eu/environment/life/project/Projects/index.cfm?fuseaction=search.dspPage&n_proj_id=5664)

<sup>19</sup> <http://www.lifeagroclimawater.eu/>

<sup>20</sup> <http://www.lifeiris.eu/en/>

<sup>21</sup> <http://www.eib.org/products/blending/ncff/index.htm>

## Examples from EU Member States

### Austria

Climate change in mountain ecosystems has a particularly high potential to cause severe declines in provisioning of ecosystem services. It results in plant species range shifts with concomitant changes in ecosystem services, occurring through catastrophic regime shifts or altered disturbance regimes. Such altered disturbance regimes like increased storm frequencies, increased heat waves and droughts, altered population dynamics of biotic disturbance agents and novel stressors like invasive species put strong threats to the resilience of mountainous ecosystems, including Alpine forests in Austria. In addition to this, temperature increase is reported to be stronger in Alpine regions than in other regions.

The Austrian government programme for the period 2008 – 2013 has provided for the formulation of a national adaptation strategy, with active involvement of all relevant stakeholders. The strategy has been adopted by the Federal Government in 2012.

Overall aim of the strategy is

- to reduce anticipated negative impacts of climate change on Austria's society, economy and nature/ecosystems and
- to use positive effects of climate change and allow synergies.

The Austrian Strategy provides *inter alia* an overview of ongoing adaptation initiatives, a portfolio of adaptation recommendations and guiding principles for actions. 132 recommendations for actions are related to 14 thematic areas, including agriculture and forestry.

The recommendations for action in the forestry sector focus on safeguarding the multiple forest functions, in particular through enhancing soil productivity and the promotion of resilient tree species (see below).

Nr.	Title	Objective	Key Actors
3.2.4.1	Modification in the selection of tree species and provenance, including targeted promotion of diversity through appropriate silvicultural management and rejuvenation of over aged stock	Increase of stability and reduction of vulnerability of forest ecosystems to pests and diseases; Increase in diversity at all levels (genetic, species-specific, structural, diversity of habitat, etc.) adapted to the respective site-specific conditions; Increase of stability and reduction of susceptibility to disturbances, e.g., through the timely introduction of rejuvenation measures.	Forest owners, interest groups, academic and non-academic research institutions, federal and state governments, EU (responsibility lies with all listed)
3.2.4.2	Soil-protective cultivation	Preservation of the physical functions of the soil, in particular in terms of water retention and nutrient supply.	Forest owners, felling companies, authorities, interest groups, research institutions, federal and state governments, EU, water management, foresters, municipalities, forest leaseholders
3.2.4.3	Reduction of damage caused by game animals	Reduced damages caused by game animals for safeguarding rejuvenation and stock stability.	Hunters, forest owners, state governments (hunting legislation), federal government, interest groups
3.2.4.4	Development of an advisory concept for foresters with regard to adaptation of forests to climate change	Improvements in consulting, training, and further education of forest owners taking into account latest research results.	Federal government, forest authorities, Chamber of Agriculture and other advisory institutions, academic and non-academic research institutions
3.2.4.5	Adjustment and improvement of crisis and calamity management	Mitigation of damage from harmful events such as windfalls or bark beetle calamities.	Federal and state governments, forest authorities, further authorities (e.g., water authorities), interest groups, forest owners, forestry unions (forest management collaborations (WWGs), forest associations), transport industry, wood and paper industries, EU
3.2.4.6	Establishment of preventative measures with regard to the potential increase in forest fires	Development of preventative measures and systems for forest-fire monitoring and early-warning in order to minimize the risk of forest fires; Elaboration or revision of emergency plans to combat forest fires.	Federal and state governments, municipalities, interest groups, forest owners, forest management collaborations (WWGs), forest associations, academic and non-academic research institutions, EU
3.2.4.7	Forest pollution control - Integrated forest inventory and pollutant monitoring	Nationwide inventory of Austrian forests through improving the forest inventory with remote sensing methods (laser scanning, multi-spectral satellite imagery) for enhanced system knowledge, and the establishment of a pollution monitoring system.	EU, federal and state governments, Federal Research and Training Centre for Forests, Natural Hazards, and Landscape (BFW), Environment Agency Austria
3.2.4.8	Development of modified and innovative techniques for wood processing taking into account potential changes in wood quality and tree species	Development of efficient, innovative techniques for wood processing in order to increase the value added in the wood use chain.	Researchers, wood-working and -processing industry, interest groups, Cooperation Platform Forestry-Wood-Paper (FHP), federal government, EU (Forest Technology Platform)

**Table: Overview of recommendations for action in the forestry sector.** The recommendations for actions in the stage of implementation with regular assessments of its progress. Further information can be found at <http://www.klimawandelanpassung.at>

## Greece

An integrated national-regional approach is followed to adapt Greece to climate change, considering the country's complex topography and variety of climates. That is: a national adaptation strategy (adopted by Law 4414/2016) developed by national authorities, namely the Ministry of Environment & Energy and 13 Regional Adaptation Plans (RAPs) developed by the regional authorities. The national strategy works as a guiding document. It spells out the goals, principles and priorities of adaptation and lists potential adaptation measures for specific sectors: i.e. natural ecosystems and biodiversity; agriculture and food security; forestry; fisheries and aquaculture; water resources; coastal zones; tourism; human health; energy and industry; transport; the built environment; cultural heritage; insurance industry.

The RAPs will examine these potential measures based on the particular regional circumstances, priorities and needs and will develop concrete regional action plans. Wherever, there is a case of sector analysis specific actions per sector will be indicated. The majority of RAPs is still at procurement phase and they are expected to be in place by the end of 2018.

A National Climate Change Adaptation Committee will be responsible for the coordination, observation and evaluation of the national climate change adaptation policy. The Committee will be composed of the representatives of the main ministries and stakeholders involved in climate change adaptation and will be chaired by the Minister of Environment & Energy. The representatives of the Ministry of Economy & Development, the Ministry of Rural Development & Food and the Federation of Enterprises will bring into discussion economic and development aspects of climate change adaptation.

Economic diversification is recognised as an instrument to increase resilience of vulnerable economic sectors. More specifically, the NAS includes actions and measures promoting diversification of products and/or practices within specific economic activities and sectors. Examples of some main sectors are:

### *Tourism*

Adjusting the tourism season and products: development of alternative tourism products and services; re-branding Greece's tourist products; develop a concrete plan to adapt to the potential changes in terms of tourism season.

### *Agriculture*

Changes in agriculture cultivation practices and in plant biological material: development of new, non-genetically modified and more resilient varieties of crops using genes of local plant species; shifting to existing local varieties of crops suitable to future climatic conditions of each region; altering planting times; shifting the range of crops in altitude and latitude: for example shifting cultivation of thermophilic plant species like olive tree and grape crops to northern and higher altitude areas of the country.

### *Fishing*

Elaboration of studies on social and economic diversification of the fishing sector and on changes of the demand for fishing products of consumers; elaboration of plans to manage and monitor the new fishing resources (new fish species) to appear in the Greek sea; adoption of international institutional instruments to allow the use of/access to the fishing fields of neighboring countries and co-management of new fishing resources (new fish species) to appear in the Mediterranean; promotion of fishing tourism to diversify the sources of income in the fishing sector.

### *Aquaculture*

Studies to promote new more resilient aquaculture practices and methods.

Adaptation actions and measures identified in the NAP and RAPs will be mainly implemented through the European Structural and Investment Funds 2014-2020 (i.e. the 13 Regional Operational Programme and the Sectoral Operational Programmes (OPs)). For example, the Rural Development and Fisheries & Sea OPs support actions to promote development of alternative economic activities for agricultural and fishing communities (i.e. tourism), as well as development of new agricultural and aquaculture products.

In addition the Competitiveness, Entrepreneurship & Innovation OP supports alternative tourism actions and projects, as well as actions promoting the extroversity of enterprises (increase exports and diversify markets). These actions are part of the Greece's overall planning to increase growth and cohesion, increasing, at the same time, resilience not only to economic changes but to climate change as well.

## Hungary

### *Cultivation of drought tolerant plants*

The Center of Plant Diversity was established in 2010 by the Minister of Rural Development in Tápíószele as successor of the Institute for Agrobotany. Plant breeders have been collecting different grain, legume, fodder plant, corn and vegetable species, land specific types and local variants since 1954 that were taken out of cultivation. In 1973 the collection turned into the first cryogenic seed storage of the Institute, the Genebank. From 2010 the activity with the LIFE+ Pannon Seed Bank project includes the gene conservation of the wild vascular plants. The Center of Plant Diversity is now the main national institute for gene source conservation of wild and cultivated plants and responsible for the professional coordination of gene preservation in national institutes, the operation of the National Base Storage Chamber, the creation of the National Database of genetic reserves, as well as the harmonization of the national and international co-operations connected with the domestic gene conservation activities, which are under the supervision of the Ministry of Agriculture and the Plant Genebank Council.

The importance of the Genebank is invaluable, because such species could be brought back into cultivation like the unique drought tolerant cow pea (*Vigna sinensis*), that can be planted on dry sandy soil and yields are sufficient. It does not tolerate extreme cold and frost; it has to be planted at the end of May. The drying climate and the changing annual precipitation distribution are favourable for the cow pea. The same phenomenon appears on the dry and sour sandy soil in Nyírség where white lupine (*Lupinus albus*) is cultivated instead of the low-yield medick (*Medicago sativa*) which is a pulse plant as well.

Experiments are also carried out with drought tolerant grain species in several places in the country. Furthermore, cultivation of such species does not need irrigation. The ground water recharge is limited, it cannot be used more than what can be recharged because it would not be sustainable on a long term scale.  
*Source: <http://www.nodik.hu/>*

### *The Virtual Power Plant Program 2011-2017*

The aim of the Virtual Power Plant Program is to collect, systematize, quantify and publish the results that companies achieved in the field of energy efficiency. Annual energy savings, saving investment costs and their paybacks are shown on the website of the companies. This information helps other companies to save energy and give ideas how to rationalize energy use. The administration can use energy efficiency data of the companies to prove the undertaken performances towards the EU. Furthermore, it can be used to modernize the supporting system. Green economy is an important governmental priority: there is no “greener” solution than energy efficiency. The unused energy (so-called negajoule) is the most environmentally friendly and the most cost-efficient. The Virtual Power Plant Program aims to set off a 200 MW power plant’s electricity production by direct and indirect energy savings until 2020. It is “virtual” because there is no need to build a real fossil power plant. The self-organization of the industry that is responsible for one third of the national energy consumption fits well to the recent governmental programmes that help energy saving primarily in the public segment.

125.000 small and medium enterprises were contacted over phone and 20.000 via online survey in 2015. Interviews were carried out in 1500 SMEs and there were visits and conducted energy efficiency audits in 300 places. The first step towards energy efficiency is to create awareness. Changing attitude does not need investment and can produce 10% saving. Further 10% saving is attainable after making an energy efficiency investment. Hundreds of companies received prestigious awards in different categories: Energy Conscious Company, Energy Efficient Company and Role Model Company.

Source: [virtualiseromu.hu/en](http://virtualiseromu.hu/en)

***Project: Reducing mineral fertilisers and chemicals use in agriculture by recycling treated organic waste as compost and bio-char products. (REFERTIL)***

Terra Humana Ltd. is the leading technology and product developer for recycling of agricultural and food processing by-products since 1989, and project coordinator, main designer in pyrolysis industry and biochar RTD projects since 2002. The Refertil ([www.refertil.info](http://www.refertil.info)), International resource team has been developed and upgraded and finally successfully tested due EU R+D programs a product in the experimentally factory of Polgárdi/HU.

Phosphorus is an essential mineral for all plants and animals. The EU 28 fertilizer processing industry utilized 1,1 million tonne mined mineral in 2014, in which the Hungarian demand was 27,5 tonne. More than 95% was imports of that component for EU, meanwhile Hungary does not have any own phosphate at all. The phosphate has been classified as critical raw material by the European Union (COM/2011/25), and one of the strategic aims is to replace the mined mineral with a recycled solution due to phosphate component materials. For that and the above issues the 3R technology is a complete and cost effective solution.

- **Economy:** The decreasing global phosphorus reserves mainly located in five countries, what means soon rate increase. 3R technology substitute the mineral from waste reutilization as biochar (>30% P<sub>2</sub>O<sub>5</sub>), what could be used perfectly for plantations.
- **Healthcare:** Until the cadmium and uranium contents of phosphorus zoic poison the soil, the reutilized phosphorus are free of any contaminants.
- **Ecological:** The intensive agriculture industry overdoses the natural waters with alimentary substances and delivers to eutrophication. The (food-hygiene cat. 3) biochar provide continuously nutrient for plantations. Otherwise biochar active coal can be used for industrial water treatment technologies too.
- **Climate:** The energy intensive chemical fertilizer production has a huge ecological footprint, and provides big greenhouse gas emission. The pyrolysis is self-supporting system due the utilization of the bypass bone oil production for heating the reaction, and this process is absolutely Zero Emission Technology-ZET.<sup>22</sup>

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<sup>22</sup> Source: <http://refertil.info/>

## ***Global Green Growth Investment – Balkan Trust Fund***

Hungary became a member of the Global Green Growth Investment (GGGI) in 2016 to contribute to the promotion of sustainable development in developing countries, including the least developed countries. Hungary has provided 80 million HUF for GGGI to design and establish a Regional Multi-Donor Trust Fund “Fund” (The Balkan Nationally Determined Contribution Implementation Trust Fund) to assist national Balkan governments in implementing their Nationally Determined Contributions (NDC) commitments. Demand for pooled financing mechanisms has grown substantially over the last decade and will prove increasingly instrumental in enhancing aid effectiveness, strengthening donor coordination and supporting transformative change for sustainable development in a rapidly evolving development financing landscape. This cooperation modality and financing architecture will enable the pooling of resources among donors to enhance development effectiveness.

In close collaboration with Hungary, GGGI can further conceptualize and design the Fund. With its core focus on NDC implementation, the Fund will take into account regional sustainability challenges and green growth opportunities, as well as the various natural, geographical, landscape and socio-economic conditions of potential recipient countries in the Fund’s design and implementation.

**Objective.** The Fund aims to support the Balkan countries to accelerate progress towards the achievement of NDC targets through the financing and implementation of inclusive green growth projects. To achieve this, our approach is grounded in assembling the most sustainable, locally led team of hands-on practitioners possible, who have the experience, capacity, networks and passion to establish and ultimately manage the Fund.

### **Italy**

The Italian Ministry for the Environment with the support of the Euro-Mediterranean Center for Climate Change (CMCC) is currently working for the implementation of the National Strategy on Adaptation to Climate Change through the development of the Italian National Adaptation Plan for Climate Change (NAP).

The NAP, which is currently open for public consultation, contains an assessment of impacts, vulnerabilities and actions to counteract the impacts of climate change classified by sector. These include economic activities such as: agriculture and food production, fishing, aquaculture, tourism, transports, industry, cultural heritage, energy and health. The NAP also identifies 8 macro-regions and for each one, presents the main threats to ecosystems and human activities, assets exposure, as well as expected opportunities.

The NAP will also provide institutional guidance to other ministries, regions, local authorities and technical-scientific background information for the integration of adaptation within policy processes, as well as an indication of roles and responsibilities for implementing integrated adaptation actions. It also defines the possible sources of funding and assesses the necessary financial and human resources.

A possible financial resource for adaptation can be obtained from the application of the Directive 2003/87/CE (art. 3) concerning the setting up of the “carbon market” for trading CO<sub>2</sub> allowances. The revenues of the auctions can be used, up to the extent of 50% of the total, to support adaptation to climate change impacts.



## United Kingdom

The **UK considers sustained wealth creation and a self-financed exit from poverty** to be dependent on structural economic transformation and diversification within sectors. To facilitate this, we promote a ‘climate smart’ approach across our economic development - including through sustainable energy and the effective economic management of natural resources and the environment.

As economies develop, they need to reconsider the **linkages between their energy, food and water resources** and build this into their planning regimes. Planning interventions will be much more coherent and effective if they are designed and implemented within an overarching aim to **transition to ‘inclusive green economies’**.

Cities are already playing a critical part in tackling climate change and there is an opportunity to **shift the future development and planning of urban agglomerations onto a low carbon pathway**. The UK is supporting the Coalition for Urban Transitions (CUT) - hosted by the World Resources Institute and the C40 network. The focus of CUT is to unlock the power of cities to support enhanced national economic, social, and environmental prosperity, including addressing the risks of climate change. In sum: it recognises that successful cities are at the core of prosperous countries.

The Coalition aims to build the high-level political commitment necessary for rapidly urbanising countries to **pursue a more compact, connected, coordinated model of urban development which drives inclusive and sustainable economic development**. In this way, the initiative will help to catalyse and inform implementation of the Sustainable Development Goals (SDGs), the New Urban Agenda, and Nationally Determined Contributions (NDCs) under the Paris Agreement. And it will be critical for assisting and catalysing the implementation of city government climate commitments. CUT is focusing on develop national urban development and infrastructure plans in select countries targeting policy reform and focus on building the economic case for better more co-ordinated urbanisation.

**The need to diversify economic opportunity for the poor is clear in the agricultural sector where,** despite there being more productive and better paid jobs **outside of primary agriculture**, the agricultural sector will continue to be a major source of economic growth in many countries. The right policies and investments could lead to an extra US\$2 trillion in rural growth by 2030; much of this will be in developing countries.

Interventions should help the rural poor who are involved in agriculture to:

- **Step up** into more profitable and commercial agriculture by linking smallholder farmers to markets, financing agriculture infrastructure and by investing in agribusiness,
- **Step out** to opportunities and better jobs outside of their farms, and supporting small and medium sized rural businesses to thrive, and
- **Increase the resilience** of farmers currently without other economic opportunities to avoid hunger and extreme poverty.

We know that **focused investment direct to small holder businesses** can lead to sustainable improvements. For example the **The Adaptation for Smallholder Agriculture Programme (ASAP)** funded by a number of donors and run by IFAD, supports agribusinesses in Rwanda<sup>23</sup> to enable better post-harvest storage and warehouses that are climate resilient and energy efficient. In Nigeria<sup>24</sup> it is helping women and the youth to step up into more commercial agriculture that is climate smart, while in Ghana<sup>25</sup> it is helping farmers triple their maize yields. In Bangladesh<sup>26</sup> ASAP is helping 240,000 farmers cope with the impacts of floods. The tried and tested techniques of climate smart agriculture that conserve soil and water, manage flood and drought are essential, but need to be applied at a scale and in a context that will enable greater profitability.

**Investment from the private sector is an essential part of the equation.** AgDevCo is a UK based investor and project developer focused exclusively on early stage agribusiness in Sub Saharan Africa. AgDevCo's investment objective is to build profitable businesses that contribute to food security, drive economic growth and create jobs. They partner with many companies including British businesses. With UK support, AgDevCo has already leveraged \$128m of third-party capital. 1 million people already benefit in rural areas from increased incomes as a result of the jobs and markets created by AgDevCo's investments. 2.3 million are expected to directly benefit by 2021 in Sierra Leone, Ghana, Rwanda, Malawi, Mozambique, Tanzania, Uganda, Zambia.

The UK also funds and partners with the Green Growth Global Institute (GGGI) Green investment Services (GIS) **to support countries with developing green investment opportunities** by facilitating and designing innovative financing mechanisms that can improve the conditions for public and private green investments.

To create an attractive enabling environment for green investments, GIS provides support to government in developing bankable green projects by providing:

- Technical assistance to develop stable and consistent policy,
- Project preparation support to design commercially and technologically viable plans
- Advice on mitigating non-project related risks by enhancing access to domestic/global climate and infrastructure finance facilities and mechanisms
- Support for the establishment of domestic securitization structures that can facilitate the scaling up of green investments
- Guidelines for transparent procurement, tendering and approval procedures across ministries.

The result of their work can be seen on the ground:

**In Rwanda, GGGI's work has been focused on green cities and green financing**, working closely with Rwanda's Green Fund (FONERWA). GGGI supported the development of Rwanda's 'National Roadmap for Green Secondary Cities', which launched in 2016 to support the country's rapid urbanisation. The roadmap laid the foundations for the Rwanda Green Building organisation (RGBO), which has since attracted technical assistance from the Government of Singapore and which GGGI have been helping develop minimum compliance criteria for building standards in Rwanda.

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<sup>23</sup> [https://operations.ifad.org/web/ifad/operations/country/project/tags/rwanda/1497/project\\_overview](https://operations.ifad.org/web/ifad/operations/country/project/tags/rwanda/1497/project_overview)

<sup>24</sup> [https://operations.ifad.org/web/ifad/operations/country/project/tags/nigeria/1692/project\\_overview](https://operations.ifad.org/web/ifad/operations/country/project/tags/nigeria/1692/project_overview)

<sup>25</sup> <https://www.ifad.org/documents/10180/f69ff8ed-2b85-4177-b19b-2a8353db610a>

<sup>26</sup> <https://www.ifad.org/documents/10180/693d602a-3c6b-44f3-8424-15221858df15>

In the last 6 months GGGI has also assisted in the planning of 30 model villages in Rwanda, which the housing authority is looking to use to create affordable rural settlements. GGGI has also been helping Rwanda attract finance to this project.

In **Colombia**, GGGI has helped mobilise the Amazon Vision program, through which the government of Colombia aims to achieve zero net deforestation by 2020. GGGI helped develop the concept document and has since assisted with the development of the program, which in 2015 received \$100 million through the REDD early movers program from the UK, Norway and Germany.

In **Jordan**, GGGI's aim is to deliver two bankable projects in 2017/18 to demonstrate the potential of green investment and build trust among the government and private sector. In the longer term, GGGI has been involved in rejuvenating the Jordan Environmental Fund, a National Financing Vehicle which has lain dormant since 2006. GGGI has been helping the Ministry to start the disbursement of funds and identify specific sectors with the aim of complementing other national funds.

Finally, the UK also supports the **Employment and Skills for Eastern Africa** programme (known as *EAD/SOGA*) in partnership with German, Norway and Shell. This programme promotes local employment by addressing skills gaps in natural resource-based industries such as oil, gas and mining in the four target countries Kenya, Mozambique, Tanzania and Uganda. The programme is operating in a way that puts an emphasis **transferability of skills and capacity** of local businesses. That way the risk of further increasing countries' dependence on extractives is mitigated and they are also less vulnerable to price shocks (staff and businesses can move to other sectors if prices drop).



## **SUBMISSION BY THE REPUBLIC OF ESTONIA AND THE EUROPEAN COMMISSION ON BEHALF OF THE EUROPEAN UNION AND ITS MEMBER STATES**

**This submission is supported by Albania, Bosnia and Herzegovina, the Former Yugoslav Republic of Macedonia and Serbia.**

Tallinn, 11/09/2017

**Subject: Information on topics such as good practices, lessons learned and available tools and methods, based on recent work in the area of human settlements and adaptation**

### **Summary of key points**

- The subject of this submission is extremely relevant as indicated by the great number of initiatives and the number of people that face significant climate change risks.
- Planning of actions for human settlements is a huge challenge given the diversity of settlements, e.g. with respect to size, climate change risks, vulnerability, adaptive capacity, etc.
- Learning by doing, including exchange of information, and building partnerships between settlements facing similar challenges seems to be an approach that is followed by more and more settlements.
- Growing use of state-of-the-art technologies and scientific knowledge as well as growing understanding of the challenges of climate change should help to avoid maladaptation.

### **I. Introduction**

1. The European Union and its Member States (EU) welcome the opportunity to submit its views on lessons learned and good practices in relation to human settlements and adaptation.
2. We welcome that submissions from Parties as well as organisations will inform the 11th Focal Point Forum, to be held in conjunction with SBSTA 47 (November 2017).



3. From the perspective of the EU adaptation in the context of human settlements is an area of growing importance given the increase in population in many countries and worldwide, and in particular in cities. Cities have a key role in the fight against climate change. They consume over two-thirds of the world's energy and account for over 70% of global emissions – but are at the same time extremely vulnerable to climate change impacts. 70% of cities are already dealing with the effects of climate change, such as heat, storms, flooding, water scarcity and droughts to mention a few, and nearly all are at risk of impacts on health, infrastructure, local economies, and quality of life of city dwellers.
4. Action taken now will ensure that future urban settlements are not locked into high carbon development that will exacerbate climate and environmental problems. Meeting the needs of new urban populations in the context of resource constraints will require far greater resource efficiencies as well as serious rethinking of the manner in which resources are deployed and how efforts are conceived, designed and executed. Given this, the role of gathering and sharing lessons learnt and best practice examples is important in shaping how both national and local government shape their urban development.
5. In this evolving context, new and deepened partnerships are needed not only to respond to challenges, but also to harness the opportunities, bringing together in implementation the Paris Agreement, the 2030 Agenda for Sustainable Development, and the Sendai Framework on Disaster Risk Reduction. Mayors are well-placed to take swift climate action, and many benefits will be felt at local level – new jobs, cleaner air, and better health. Cities are centres for innovation and as environmental, economic and social challenges are becoming increasingly evident, even in high-income regions, strengthening of institutional settings and decision making processes with the goal to make those fit for purpose is a priority at the Mayors' desks. As cities are sources of both, environmental problems and opportunities, many are already taking strong actions to meet the sustainability challenge.
6. The EU has a long history of supporting local authorities and initiatives such as the Covenant of Mayors for Climate and Energy that show that a multi-level governance structure is instrumental in delivering climate action and sustainable development.
7. Examples of relevant activities on adaptation in human settlements, within the EU, within Member States as well as in developing countries that are supported by the EU and its Member States are included in the Annex.
8. Section II summarizes some lessons learned in relation to the topics specified in the SBSTA invitation for submission.

## II. Lessons learned

The lessons on adaptation in human settlements build on the experience at the level of the EU as well as on the level of Member States.

- Adaptation actions need to be country/region/city driven.
- Adaptation actions need to be informed by participatory processes, with engagement of a broad range of stakeholders.
- Actions need also to be informed by up-to-date science.
- Financial resources are frequently identified by cities as critical bottleneck, but by broadening the source base additional resources can usually be mobilized.
- The awareness of the need to adapt to the impacts of climate change has increased significantly in the recent years, but the implementation of concrete actions could be further enhanced.
- Learning by doing is key as is exchange and sharing of information and experiences.
- It remains challenging to roll-out activities from those cities/regions that are early movers to all cities/regions that have/or are expected to have a significant vulnerability.
- Infrastructure projects need to be geared to a much longer timeframe (ten years and more) than the typical 3 to 5 years project.

- Integrating resilience into infrastructure development requires:
  - **Multiple entry points: building resilience through urban planning, as the first and only entry point, is not enough, and must be expanded upon.** Entry points for resilience enhancing interventions, such as construction materials, energy requirements, need for system redundancy need to be identified, pursued and financed along different points of the infrastructure development.
  - **Combining climate science-based risk assessments with local level vulnerability assessments** in infrastructure development: climate-science (modelling) based risk assessments are, by themselves, insufficient to ensure that infrastructure projects increase the resilience of the most vulnerable communities (e.g. embankments have often been constructed based on modelled future water levels without understanding potential negative impacts on neighbouring poor communities).

## Annex – examples

### European Union

#### EU Adaptation Strategy

In recognition of the shared challenges of responding to climate change and the cross-border nature of both its impacts and adaptation actions, the European Union has led the development of an EU-wide framework for adaptation, focusing on actions and sectors where the EU can bring added value, while building on the successes achieved in the past.

Since 2013, the EU adaptation strategy encourages national, regional and local adaptation action. The 2013 EU Strategy on adaptation to climate change aims to prepare the EU for current and future impacts of climate change. It promotes adaptation action throughout the EU, ensuring that adaptation is mainstreamed across all relevant EU policies and securing greater coordination, coherence and information sharing across Member States. It promotes and guides adaptation planning in the Member States and ensures EU funding is channeled towards adaptation efforts.

The EU Adaptation Strategy defines the EU's main role as supporting the public and private sector at the national, regional and local levels by providing comprehensive information on adaptation. Information is mainly provided through the European information platform, Climate-ADAPT<sup>1</sup>, as well as the Covenant of Mayors for Climate and Energy<sup>2</sup>, which now includes adaptation. The EU also provides guidance on coherent adaptation approaches (e.g. through guidelines), in addition to concretely allocating funding (e.g. through the LIFE programme) to adaptation actions. In addition, the EU is supporting its Member States in the case of transboundary issues by, for instance, facilitating regional adaptation actions through macro-regional strategies (see also the section on EU level Macro-Regional Strategies), or encouraging cross-boundaries projects that enhance resilience (see also the section on LIFE). It is further strengthening and mainstreaming adaptation into those sectors that are closely integrated at the EU level through the single market and common policies.

#### Urban Agenda for the EU – Partnership on Climate Adaptation

The EU Urban Agenda<sup>3</sup>, agreed by the Pact of Amsterdam<sup>4</sup>, strives to involve urban authorities in achieving better regulation, better funding and better knowledge (knowledge and exchange). This requires a joint approach between both, sectorial policies and different levels of governance. Partnerships have been identified as the key delivery mechanism to get recommendations on 12 priority themes within the EU Urban Agenda: Inclusion of migrants and refugees; Urban poverty; Housing; Air quality; Circular economy; Jobs and skills in the local economy; Climate adaptation; Energy transition; Sustainable use of land and Nature-Based solutions; Urban mobility; Digital transition; and Innovative and responsible public procurement.

The Partnership on Climate Adaptation has been launched recently and offers a unique opportunity for local authorities, Member States, the European Commission and other EU organizations to work together to deliver concrete improvements on the ground.

The general objectives of the Partnership on Climate Adaptation are to empower local authorities in planning and undertaking climate resilient adaptation action and to showcase the key role that local level actions have in reducing vulnerability. The Partnership will help identify and address barriers and gaps in this respect.

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<sup>1</sup> <http://climate-adapt.eea.europa.eu/>

<sup>2</sup> [http://www.covenantofmayors.eu/about/covenant-of-mayors\\_en.html](http://www.covenantofmayors.eu/about/covenant-of-mayors_en.html)

<sup>3</sup> <https://ec.europa.eu/futurium/en/urban-agenda>

<sup>4</sup> The Pact of Amsterdam establishes an overarching Urban Agenda for the EU and was agreed by EU Ministers responsible for Urban Matters on 30 May 2016. Climate adaptation, including green infrastructure solutions, are one of its Priority Themes. More information here: [http://ec.europa.eu/regional\\_policy/sources/policy/themes/urban-development/agenda/pact-of-amsterdam.pdf](http://ec.europa.eu/regional_policy/sources/policy/themes/urban-development/agenda/pact-of-amsterdam.pdf)

This partnership offers opportunities to advance urban adaptation action in Europe as well as to mainstream and align adaptation action with other Urban Agenda Partnerships in Europe, such as Sustainable use of land and Nature-Based solutions, Circular Economy, Air quality and Energy transition.

## EU level Macro-Regional Strategies

Macro-regional strategies are an important tool of implementing adaptation action across countries.

Macro-regional co-operation addresses common challenges (e.g. innovation driven growth, transport, connectivity, environment, climate and risk prevention) shared by various regions and Member States. There are currently four macro-regional strategies in place at EU level: Baltic Sea Region (BSR)<sup>5</sup>, Danube<sup>6</sup>, Alpine<sup>7</sup> and Adriatic and Ionian<sup>8</sup>.

The Baltic Sea macro-region is a frontrunner as it was the first macro-region in Europe having the macro-regional strategy within the EU, endorsed by the European Council in 2009<sup>9</sup>. Since then the cooperation and coordination within and across countries has even been further intensified<sup>10</sup> resulting in stronger synergies across the different areas, such as climate change adaptation addressed under the Horizontal Action CLIMATE<sup>11</sup>.

Some of the main achievements include:

- An Adaptation Strategy and action plan for the entire Baltic Sea region (BSR) as result of the BALTADAPT<sup>12</sup> Flagship project financed by INTERREG Baltic Sea Programme).
- BSR Climate Dialogue Platform is one of the key initiatives implementing the action plan. It is operating in the format of bi-annual Round-table discussions. The Platform involves all levels of governance and key stakeholders to ensure a truly cross-sectorial and integrated working approach. The direct benefits of such platform are many-fold:
  - It keeps climate cooperation on the political agenda of the Baltic Sea States and ensures transnational and cross-sectorial cooperation in this area.
  - It drives the national governments to advance on the preparation of the National Adaptation Strategies. 7 out of 8 EU MS in the region have adopted a national adaptation strategy.
  - It improves data collection and information exchange (a section in Climate-ADAPT is now dedicated to BSR specific information<sup>13</sup>) with an aim to develop tools for the BSR countries to support their planning and implementation of national adaptation strategies.
  - it advances the work on climate change vulnerability and resilience indicators and harmonization of the methodologies in order to monitor implementation progress, measure level of vulnerabilities and resilience in the region.

Numerous flagship projects (e.g. iWater<sup>14</sup>, ClimUrban<sup>15</sup>) are being implemented as part of the Horizontal Action (HA) Climate<sup>16</sup> work, one of the four horizontal actions in the EU Strategy for the Baltic Sea Region. HA Climate represents Baltic Sea cooperation in the fields of climate adaptation as well as low emission development. The HA is led by the Baltic 2030 Unit of the Council of the Baltic Sea States, CBSS. These projects involve wide range of countries and partners from national and local governments, NGOs, academia and business sectors.

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<sup>5</sup> <https://www.balticsea-region-strategy.eu/>

<sup>6</sup> <https://www.danube-region.eu/>

<sup>7</sup> <https://www.alpine-region.eu/eusalp-eu-strategy-alpine-region>

<sup>8</sup> <http://www.adriatic-ionian.eu/>

<sup>9</sup> [http://ec.europa.eu/regional\\_policy/en/policy/cooperation/macro-regional-strategies/baltic-sea/](http://ec.europa.eu/regional_policy/en/policy/cooperation/macro-regional-strategies/baltic-sea/)

<sup>10</sup> Report on the implementation of EU macro-regional strategies - 16.12.2016 (COM(2016) 805 final)

[http://ec.europa.eu/regional\\_policy/sources/cooperate/macro\\_region\\_strategy/pdf/report\\_implement\\_macro\\_region\\_strategy\\_en.pdf](http://ec.europa.eu/regional_policy/sources/cooperate/macro_region_strategy/pdf/report_implement_macro_region_strategy_en.pdf)

<sup>11</sup> <http://www.cbss.org/strategies/horizontal-action-climate/>

<sup>12</sup> <http://www.baltadapt.eu/>

<sup>13</sup> <http://climate-adapt.eea.europa.eu/countries-regions/transnational-regions/baltic-sea-region/adaptation/general>

<sup>14</sup> <https://www.integratedstormwater.eu/about>

<sup>15</sup> <http://www.bsr-secure.eu/category/flagship-projects/climurban/>

<sup>16</sup> <http://www.cbss.org/strategies/horizontal-action-climate/>



## The Global Covenant of Mayors (CoM) for Climate and Energy<sup>17</sup>

January 2017 marked the official launch of the Global Covenant of Mayors for Climate & Energy, bringing together the Covenant of Mayors and the Compact of Mayors. Through this merge, the GCoM also brings in support of global city networks and other partners. The Global Covenant of Mayors for Climate & Energy (GCoM) is an international alliance of cities and local governments with a shared long-term vision of a world where committed mayors and local governments – in alliance with partners – accelerate ambitious, measurable climate and energy initiatives that lead to an inclusive, just, low-emission and climate resilient future, helping to meet and exceed the Paris Agreement objectives. The Global Covenant of Mayors for Climate & Energy formally brings together the EU Covenant of Mayors<sup>18</sup> and the Compact of Mayors<sup>19</sup>, the world's two primary initiatives of cities and local governments to advance their transition to a low emission and climate resilient economy, and to demonstrate their global impact.

National and Regional Covenants form the backbone of the GCoM, operating as national/regional “chapters”, and engaging with cities and local governments to encourage local level climate action while simultaneously building a community of committed signatories to a single purpose global initiative. Inspired by the models of the Covenant of Mayors and the Compact of Mayors, but adjusted to local circumstances, priorities and expertise, they are supported by the Covenant Secretariats. Currently, the European Union is supporting Covenant Secretariats covering the European Union (since 2008), East (2011) and South (2012) neighbouring countries of Europe, Sub-Saharan Africa (2015), North America (2017), Latin America and the Caribbean (2017), China and South-East Asia (2017), India (2017) and Japan (2017). Other countries are supported by the Global Secretariat, financed by Bloomberg Philanthropies.

Global Covenant of Mayors cities and local governments constitute a global community that is the largest peer coalition working towards enhancing climate action. The mayors and local officials who have committed to the Global Covenant of Mayors are critical to delivering on the Paris Agreement.

More details on the EU Covenant of Mayors and the Covenant of Mayors for Sub-Saharan Africa, the two most established regional Covenants of Mayors, are given below.

### *The Covenant of Mayors for Climate and Energy in Europe<sup>20</sup>*

Since the creation of the Global Covenant of Mayors for Climate and Energy, the EU Covenant of Mayors acts as the regional hub of the global initiative.

The Covenant of Mayors in the EU was created in 2008 to implement the EU 2020 climate and energy targets (at least -20% GHG mitigated compared to the 1990 level). In 2015, Commissioner Miguel Arias Cañete launched the integrated Covenant of Mayors for Climate and Energy, extending the initiative to 2030 and incorporating adaptation into existing climate change and energy requirements (thus merging with the initiative Mayors Adapt). Since 2015, Covenant signatories have voluntarily pledged action to support the implementation of the EU's 40% greenhouse gas reduction target by 2030 and have adopted a joint approach to tackling climate change mitigation and adaptation.

The new Covenant informs, mobilises and supports cities to take action on mitigation and adaptation to climate change as well as access to clean and affordable energy. It brings together more than 7,500 (03/08/2017, Covenant of Mayors website) cities and towns in more than 56 countries. Cities voluntarily commit to develop a local strategy/plan on mitigation and adaptation. The Covenant gives visibility to cities' commitments and actions, facilitates the exchange of experiences and provides technical support.

More than 800 cities have committed to targets outlined above since December 2015, under the Covenant of Mayors for Climate and Energy in Europe. Together with the former Mayors Adapt signatories, this brings almost 900 cities committed to adaptation planning and action. It is expected that

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<sup>17</sup> [www.globalcovenantofmayors.org](http://www.globalcovenantofmayors.org)

<sup>18</sup> [www.covenantofmayors.eu](http://www.covenantofmayors.eu)

<sup>19</sup> <https://www.compactofmayors.org/>

<sup>20</sup> <http://www.covenantofmayors.eu>

by the end of 2017 around 100 European cities will have submitted a climate risk and vulnerability assessment as well as indicative adaptation actions.

Good practice examples when it comes to adaptation at local level include<sup>21</sup>:

- **Managing water flow:** the city of Glasgow is managing water flows to reduce risks by combining traditional infrastructure – building new reservoirs and flood defence walls – with ecosystem based adaptation, restoring 22 acres of wetlands. As a result, 7,200 homes are now protected, with a flood damage reduction saving of EUR 13 million in 2011-2012 alone. In addition, the restoration of wetlands has also increased its ability to store carbon, thus also contributing to mitigation.
- **Reducing heat waves:** the city of Lisbon in Portugal has created 32 ha of urban gardens, which has improved water retention, reduced the urban heat island effects, as well as the risk of floods.

In addition to supporting planning for resilience at local level, the EU Covenant of Mayors has developed a Monitoring & Reporting Framework<sup>22</sup> in collaboration with a group of practitioners from local and regional authorities, which allows signatories to collect and analyse data in a structured and systematic manner, and facilitates the implementation of climate risks and vulnerability assessments.

### *The Covenant of Mayors for Sub-Saharan Africa (CoM SSA)*<sup>23</sup>

Since the creation of the Global Covenant of Mayors for Climate and Energy, the Covenant of Mayors for Sub-Saharan Africa acts as the regional hub of the global initiative.

The African continent's rapid urbanization poses a multitude of substantial development risks. At the same time, cities play a crucial role in fighting climate change and contributing towards the Sustainable Development Goals. The EU acknowledges the potential of cities as hubs for sustainable and inclusive growth and innovation. As part of the international alliance of the Global Covenant of Mayors for Climate and Energy, the regional Covenant of Mayors in Sub-Saharan Africa (CoM SSA) is an EU funded initiative which supports SSA cities in their fight against climate change and seeks to increase access to sustainable energy and to implement local actions to combat climate change and its impacts.

Triggered by an EU-funded project spanning from December 2015 to November 2019, the CoM SSA mobilizes cities and local authorities for energy and climate action, gives cities a voice and creates a global network of city-to-city cooperation and peer learning. It combines ambitious political commitments, strategic planning, monitoring and concrete actions in order to pave the way to sustainable infrastructure and finance. The EU supports a wide range of activities, including the network's development, improving capacities and assisting cities to design strategic plans on climate adaptation, climate mitigation and access to energy.

In order to translate the political commitment into practical measures, CoM SSA signatories commit to produce and implement a Sustainable Energy Access and Climate Action Plan (SEACAP). To date, 9 cities have signed grants to develop pilot projects designed to enable them to set up and use efficient planning and implementation tools and action plans for their energy, mobility and/or spatial organization and improve the legal and institutional framework of local governments, as well as their technical and resource mobilization capacities.

### **The LIFE program**<sup>24</sup>

LIFE is the EU's financial instrument supporting environmental, nature conservation and climate action projects throughout the EU. The LIFE programme<sup>25</sup> best practice, pilot or demonstration projects test

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<sup>21</sup> For more examples, visit the Covenant of Mayors website, <http://www.covenantofmayors.eu>.

<sup>22</sup> The M&R framework consists of a reporting template (currently in excel format, the development of the on-line reporting system is underway) <http://www.covenantofmayors.eu/Covenant-technical-materials.html> and the Reporting Guidelines : [http://www.covenantofmayors.eu/IMG/pdf/Mayors-Adapt\\_Reporting\\_Guidelines.pdf](http://www.covenantofmayors.eu/IMG/pdf/Mayors-Adapt_Reporting_Guidelines.pdf)

<sup>23</sup> <http://www.ccre.org/activites/view/40>

<sup>24</sup> <http://ec.europa.eu/environment/life/>

and implement innovative approaches to adaptation. Urban adaptation projects have been a priority recently, and in particular encouraging the implementation of climate action plans through the Covenant of Mayors. In particular, the annual calls encourage projects that have mitigation co-benefits. Here are a few selected examples:

- LIFE LOCAL ADAPT<sup>26</sup> aims to integrate climate change adaptation into the work of local authorities. It will establish partnerships to increase the climate change adaptation capacities of selected local authorities in Germany, Austria, Czech Republic, Latvia and Estonia (towns of Valka and Valga)
- LIFE SECADAPT<sup>27</sup> is developing and implementing sustainable energy and climate action plans (SECAPs) within the framework of the Covenant of Mayors in two regions in Croatia and Italy.
- LIFERADOKLIMA PL<sup>28</sup> is making the city of Radom in Poland more resilient to climate change by building demonstration 'green/blue infrastructure' for managing extreme storm water flows and controlling local flood risks.
- LIFE URBAN-ADAPT<sup>29</sup> is demonstrating an innovative, participatory approach in Rotterdam, Netherlands to increase the acceptance and commitment of the public and stakeholders for large-scale implementation of urban adaptation strategies and related measures.
- LIFE-SHARA<sup>30</sup> aims at strengthening the governance of adaptation and increasing the resilience against climate change. LIFE-SHARA brings together partners from Spain and Portugal, and its expected results include improving the Spanish adaptation platform AdapteCCa (in terms of contents and functionalities), involving key stakeholders to work together and mainstream adaptation into their planning and managing activities, expanding the level of awareness and building capacities for adaptation to climate change. LIFE SHARA lays the grounds for a long term transnational cooperation mechanism between the Adaptation Units of Portugal and Spain, that will catalyze joint actions and projects, including the first Iberian Conference on Adaptation to Climate Change.
- MEDEA: the core objective of the MEDEA Project is to demonstrate the feasibility and effectiveness of an adaptation strategy to desert dust storms (DDS). The project will be implemented in Cyprus, Greece (Crete Region) and Israel, with the objectives of developing a strategic plan for mitigation of health effects of DDS events, demonstrate effective measures in addressing DDS and their impacts and demonstrating the feasibility of early forecasting. The information and knowledge gained will be shared with relevant stakeholders beyond the countries of implementation, in particular in other desert dust storm-exposed regions in South-Eastern Europe.

## The Natural Capital Finance Facility (NCF)

The NCF<sup>31</sup>, funded by the LIFE Programme, provides direct and indirect financing for natural capital investment projects. The financing may consist in loans or equity but the NCF does not provide grant-based financial support. It finances upfront investment and operating costs for revenue-generating or cost-saving projects which promote the conservation, restoration, management and enhancement of natural capital that contribute to the Union's objectives for biodiversity and climate change adaptation, e.g. through ecosystem-based solutions to challenges related to land, soil, forestry, agriculture, water and waste. The facility is implemented by the European Investment Bank (EIB).

The added value of the NCF is to address current market gaps and barriers to the private financing of projects in the field of biodiversity and climate change adaptation. NCF aims to develop a pipeline of projects that encourage greater uptake of such investments in the market.

The NCF has a *Greening A City* strand<sup>32</sup>, which can help EU cities to finance green infrastructure and blue infrastructure (e.g. green roofs, green walls, ecosystem-based rainwater collection/water reuse

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<sup>25</sup> <http://ec.europa.eu/environment/life/project/Projects/index.cfm?fuseaction=home.getProjects&themeID=111>

<sup>26</sup> <https://www.life-local-adapt.eu/en>

<sup>27</sup> <http://www.lifecadadapt.eu/>

<sup>28</sup> [http://ec.europa.eu/environment/life/project/Projects/index.cfm?fuseaction=search.dspPage&n\\_proj\\_id=5356](http://ec.europa.eu/environment/life/project/Projects/index.cfm?fuseaction=search.dspPage&n_proj_id=5356)

<sup>29</sup> [http://ec.europa.eu/environment/life/project/Projects/index.cfm?fuseaction=search.dspPage&n\\_proj\\_id=5239](http://ec.europa.eu/environment/life/project/Projects/index.cfm?fuseaction=search.dspPage&n_proj_id=5239)

<sup>30</sup> [http://ec.europa.eu/environment/life/project/Projects/index.cfm?fuseaction=search.dspPage&n\\_proj\\_id=5679](http://ec.europa.eu/environment/life/project/Projects/index.cfm?fuseaction=search.dspPage&n_proj_id=5679)

<sup>31</sup> <http://www.eib.org/products/blending/ncff/index.htm>

<sup>32</sup> <http://www.eib.org/products/blending/ncff/cities/index.htm>

systems, flood protection and erosion control). Green and blue infrastructure elements in a city can be financed as a stand-alone project, or as part of a larger investment scheme for an urban area or as part of a social housing scheme. Currently a number of such projects in urban areas are under assessment or development by the EIB.

## **GCCA/GCCA +**

The Global Climate Change Alliance (GCCA)<sup>33</sup> is a policy initiative of the EU to strengthen dialogue and cooperation on climate change with developing countries most vulnerable to climate change. It focuses on Least Developed Countries (LDCs) and Small Island Developing States (SIDS), with a flexible, mutually-reinforcing combination of priorities defined by the countries.

From the outset, the EU was one of the first development agencies to recognise the particular vulnerability of SIDS and the need to prioritise partnerships with and between them. Bilateral programmes with 14 SIDS and regional programmes benefiting 25 SIDS account for 30% of GCCA funding today.

Launched in 2007 and structured along 3 priority areas (**Mainstreaming** climate change into poverty reduction and development efforts; **Increasing resilience** to climate related stresses and shocks; and **Supporting formulation and implementation** of concrete and integrated sectoral based climate change adaptation and mitigation strategies), GCCA is one of the most significant climate change initiatives in the world, which supported 61 projects worldwide between 2008 - 2016. In 2014, a new phase of the GCCA, the GCCA+ flagship initiative, began in line with the European Commission's new Multiannual Financial Framework (2014-2020). The GCCA+ will build on the work undertaken in its first phase (2008-2013) by feeding back lessons learned and through a more targeted approach in line with countries' needs.

Today, 51 GCCA programmes are supported in 38 countries, 8 regions and subregions and 1 global programme (implemented by UNCDF). The GCCA+ support is provided through two mutually reinforcing pillars: serving as a platform for dialogue and cooperation, and as a source of technical and financial support through country or regional programmes delivered across a range of sectors.

There are many regional projects undertaken amongst others in the Mekong Delta in Asia, the African continent and the Pacific Islands. Only one is "multi-regional" i.e., LoCAL<sup>34</sup>.

LoCAL, the multi-regional project, aims to engage the local level more meaningfully in promoting climate change resilient communities by increasing financing for and investment in climate change adaptation at the local level in least developed countries. It assures integration of climate change adaptation into local governments' planning and budgeting systems by using a financial top-up to cover local climate resilient investments (e.g. hard measures such as water and sanitation, transport and agriculture).

The programme will achieve these objectives by providing performance-based climate-resilient grants (PBCRGs) and accompanying technical and capacity building support to local authorities in selected LDCs. Within selected countries, it will target primarily rural local authorities of the lowest or second-lowest tier in the government structure, as well as small towns of under 600 000 people.

As of end 2016, Phase I and II LoCAL programmes had been designed and adopted (i.e. a memorandum of understanding or a project implementation agreement had been signed) in 12 LDCs from Africa and Asia. 64 local governments in twelve countries representing over 5 million people were engaged in the process, with more than 130 investments completed across ten countries using LoCAL grants in 2016.

## **Climate-ADAPT<sup>35</sup>**

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<sup>33</sup> <http://www.gcca.eu/>

<sup>34</sup> <http://www.gcca.eu/multi-country%20programmes/local-climate-adaptive-living-facility-local>

<sup>35</sup> <http://climate-adapt.eea.europa.eu/>

The European Climate Adaptation Platform (Climate-ADAPT) hosted by the European Environment Agency, aims to support Europe in adapting to climate change by facilitating access to sound adaptation information in Europe. It is an initiative of the European Commission and helps users to access and share information on:

- Expected climate change in Europe
- Current and future vulnerability of regions and sectors
- National and transnational adaptation strategies
- Adaptation case studies and potential adaptation options
- Tools that support adaptation planning

CLIMATE-ADAPT includes information and guidance on policies, methodologies and good practices, including ecosystem/biodiversity based adaptation strategies. It also hosts a dedicated section that provides access to information about climate change impacts, vulnerabilities and adaptation options for cities, as well as an Urban Adaptation Tool<sup>36</sup>.

**The URBACT programme**<sup>37</sup> enables cities to work together to develop sustainable solutions to major urban challenges, through networking, sharing knowledge, and building capacities for urban practitioners. It is funded by the European Regional Development Fund and by Partner and Member States of the European Union since 2002. The URBACT programme also aims at sharing knowledge on the issue of climate adaptation in cities through a variety of channels. The network 'Resilient Europe'<sup>38</sup>, lead by the city of Rotterdam, gathers ten EU cities working together to learn and share experiences with the aim to foster resilience and sustainability.

## **COPERNICUS**<sup>39</sup>

Copernicus is the European Union's earth observation programme. It aims to provide reliable and up-to-date information on how our planet and its climate are changing – essential for informed decision making by governments, businesses and citizens.

Copernicus climate service gives access to information for monitoring and predicting climate change and will help to support adaptation and mitigation. The type of indicator provided include climate indicators (e.g. temperature increase, sea level rise, ice sheet melting, warming up of the ocean) and climate indices (e.g. based on records of temperature, precipitation, drought event). All services are provided free of charge to users. The information provided by Copernicus can thus be instrumental for sustainable urban planning.

The Copernicus programme is coordinated and managed by the European Commission. The development of the observation infrastructure is performed under the aegis of the European Space Agency for the space component and of the European Environment Agency and the Member States for the in situ component.

## **Examples from EU Member States**

### **Austria**

#### **1. Urban Design Lab**

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<sup>36</sup> <http://climate-adapt.eea.europa.eu/countries-regions/cities>

<sup>37</sup> <http://urbact.eu/>

<sup>38</sup> <http://urbact.eu/resilient-europe>

<sup>39</sup> <http://www.copernicus.eu/main/climate-change>

Austria's contribution builds on experience with "The Urban Design Lab" that has been developed for the Housing and Urban Development Division of the Inter-American Development Bank (IDB) with support by the Government of Austria through financial contribution and technical expertise.

The purpose of this cooperation has been the fruitful exchange of experiences and lessons-learned ("know-how") as well as academic research ("know-why") about urban development and urbanization processes in Latin America and the Caribbean (LAC).

A multi-disciplinary team of professors, lecturers, invited professionals and master students work in Housing and Urban Development Department (HUD) partner cities in close cooperation with IDB specialists, city administration and local universities. One of the methodologies developed in the last four years of cooperation is the Urban Design Lab (UDL), a tool-kit for participatory urban design that was developed and has been successfully tested in over 20 partner cities of the Emerging and Sustainable Cities Program (ESC).<sup>40</sup>

The cooperation between the IDB and Austrian Academic Institutions wishes to enrich the current planning discourse of sustainable urban development with contemporary topics like proximity, the dense city, mixed used development, affordable housing, repopulation strategies, application of urban rules and conditional urban design, land management, cross-financing and subsidizing.

Individual local projects are enrolled over four months and identify a network with relevant stakeholders and engage these actors in a participatory planning process. Workshops with the stakeholders and with the local university are held to ensure the application of a multi-sectorial, dialogue-orientated planning approach.

Implementation in:

San José, Costa Rica: Proyecto Urbano Integral Ciudad Gobierno

Paramaribo, Suriname: 2 housing prototypes and housing strategy

Montego Bay, Jamaica: Slum Upgrading + Social Housing / Public Market

Panamá: Calidonia urban renovation project

Santiago de Caballeros: Revitalization of Historic Center, Pedestrian Zone

Managua, Nicaragua: Revitalization of Historic Center, Housing proposals

Montería, Colombia: Municipal Market Revitalization Project

Quetzaltenango, Guatemala: Centro Intercultural – Library

## **2. Climate Change Adaptation Model Regions (KLAR)<sup>41</sup>**

Launched in 2016, the KLAR!-programme is a Europe-wide unique climate adaptation support programme for Austrian regions. Until end of March 2017, interested regions and municipalities were invited to submit their application including a basic concept to the Climate and Energy Fund, who initiated the programme in cooperation with the Ministry of Agriculture, Forestry, Environment and Water Management (BMLFUW). Henceforward, 23 participating model regions from all over the country will demonstrate how adaptation to climate change can be implemented on a small (local and regional) scale and prepare their regional adaptation strategy by the end of 2017.

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<sup>40</sup> For further information:

Facebook: <https://www.facebook.com/UrbanDesignLaboratory>

UNESCO Creative Cities Network: <http://en.unesco.org/creative-cities/events/nassau-urban-lab-creativity-tool-sustainable-urban-development>

Website: <http://www.urbandesignlab.org>

<sup>41</sup> KLAR: Klimawandel - Anpassungsmodellregionen

For further information: <https://www.klimafonds.gv.at/foerderungen/aktuelle-foerderungen/2016/klar/>

The KLAR! - regions not only cover a wide range of Austrian climatic conditions, but also differ in size; ranging from two municipalities per model region to 22 municipalities. Twenty three regions were nominated to develop customized adaptation concepts.

The KLAR! – programme supports regions, which are willing to deal with climate change adaptation over the following years in a structured and focused manner. The assistance of the Climate and Energy Fund includes the following stages:

- Phase 1: Submission of a development concept including awareness raising (from July 2017 until end of 2017)
- Phase 2: Implementation of adaptation measures (start: 2018 until end of 2019)
- Phase 3: Dissemination, monitoring and evaluation (start: 2020)

A service platform composed of experts from the Umweltbundesamt and the Zentralanstalt für Meteorologie und Geodynamik supports the model regions in technical affairs with targeted climate- and adaptation information. More information about the programme and all 23 regions is provided on the KLAR!-Website [www.klar-anpassungsregionen.at](http://www.klar-anpassungsregionen.at).

## Czech Republic

**The Strategy on Adaptation to Climate Change in the Czech Republic** was approved by the Government in October 2015. The Adaptation Strategy was prepared in line with an EU Strategy on adaptation to climate change and it was adjusted to specific conditions of the Czech Republic. The Adaptation Strategy is being implemented by the National Action Plan on Adaptation to Climate Change, which was adopted by the Government in 2017. The objective of the Adaptation Strategy is to reduce anticipated climate change impacts, adapt to these negative impacts, maintain good living conditions and develop economic potential for the future generations.

The Adaptation Strategy includes observed climate change impacts and recommends appropriate adaptation measures including their mutual linkages and linkages to mitigation. Human settlements are one of the key areas of focus of the Adaptation strategy and its primary goal is to increase resilience of human settlements and their capability to adapt to climate change. In order to achieve this goal, it is necessary to ensure sustainable water management and functional interconnection of areas with the predominant natural components forming the system of urban greenery. At the same time, it is necessary to support the overall variability of urbanized areas. An important role is played by water and vegetation areas and elements, as they can significantly affect settlement microclimate and reduce the air temperature in cities. Adaptation in urbanised areas will be achieved through measures such as:

- Reduction of surface runoff
- Reduction of surface runoff pollution
- Ensuring the variability of the urbanized area
- Ensuring a functional and ecologically stable system of urban greenery
- Responsible management and reducing the urbanized areas footprint
- Mitigation of flood impacts in urbanised areas
- Reduction of risks related to high temperatures and air quality
- Specific measures in urban development, construction and architecture

An important part in human settlement preparedness for climate change has also the National Program for the Environment which one of priority area is focused on the environment in cities and villages. Under the Program, the funding was provided for:

- Sustainable mobility in cities – low-emission zones
- Sustainable development of the cities and villages
- Increase resilience of cities and villages to climate change
- Improvement of life quality in cities and villages

- Cities and villages to make contribution towards the climate and energy framework by 2030

In terms of sustainable water management the Ministry of the Environment of the Czech Republic has launched a pilot project called “Rainwater” which provides grants for accumulation water tanks. This project will help to increase the capability of water infiltration in urban landscapes and its availability during drought seasons.

In January 2017, the Ministry of the Environment of the Czech Republic has become the national coordinator of the Covenant of Mayors for the Czech Republic. The Czech Republic has currently 8 signatories to the Covenant of Mayors for Climate & Energy with respect to adaptation for example Prague, Liberec and Litomerice. Several bigger cities such as Brno, Plzen and Ostrava are currently developing local adaptation strategies. Prague has completed its local adaptation strategy, which aims to reduce vulnerability to climate change and secure good living conditions and environment for its citizens in the future.

## France

The first national adaptation plan (PNACC 1) was adopted in 2011. The plan contained 240 concrete measures covering 20 thematic areas including urban planning and the built environment. A second adaptation plan will be elaborated on the basis of an evaluation of the first plan and extensive stakeholder consultations that were finalised in July 2017.

The PNACC 1 consisted of nationwide measures, run by central government or various government agencies. Local authorities were encouraged to adopt the same process and to draw up local climate plans to develop a genuinely local climate and energy policy in their own jurisdictions:

- at a regional level: Regional Climate, Air and Energy Master Plans (SRCAE) and
- at a local level: Local Climate and Energy Plans (PCET).

At the level of the regions, the SRCAEs were all finalized by 2014 and while they vary widely in terms of ambition and structure, they all contain a section on adaptation. Some of them explicitly state that the subject of adaptation will be incorporated into their policies for individual sectors, and some delegate this aspect to the local plans. The following themes appear most often in the SRCAEs: information & research (vulnerable zones, climate change impacts and public policy), water (conflicting demands, factoring climate change impacts into the revised water development & management plans and master plans), town planning (heat islands), biodiversity, health, agriculture & forestry (transforming practices, afforestation), natural risks, coastal zones and economic resilience.

Since 2015, regional authorities are responsible for drawing up planning and implementing (in metropolitan France) a new type of integrated master plan called the SRADDET (territorial planning and equality & sustainable development master plan). It is meant to integrate all existing prior schemes, plans and strategies. Regional authorities are also in charge of managing a large part of European funds.

On a sector-by-sector basis in most town planning documents in addition to the regional master plans it is possible to add:

- The “local planning continuity” documents (SCoTs)
- The local authority and joint local authority town planning documents (PLUs).

The law specifically asks these local planning documents to aim for climate change mitigation and adaptation (town planning code). Risks in particular are widely identified and addressed with a view to finding solutions that strike a balance between the needs of public safety and sustainable local development. A promising trial was conducted on the inclusion of coastal risks in the “local planning continuity” documents and local authority town planning documents. Methodology guides aimed at helping local authorities incorporate green and blue-green grids in their plans are widely disseminated.

France also developed sectoral strategic documents dealing with territorial impacts of climate change at a national level, like the national integrated coastline management strategy, adopted in 2012.



Over the period covered by the PNACC 1, several new acts of parliament have mentioned adaptation as being a public policy priority. For example:

- The “ALUR” Act of March 2014 (“on accessible housing and new approaches to town planning”) states that construction projects must set aside areas that are non hard-surfaced or nature-friendly;
- The law “on the future of agriculture, food and forestry”, enacted in October 2014, stipulates that the government must oversee the adaptation of forests to climate change. This is being put into practice through the process currently under way of incorporating climate change adaptation as a priority area first at the national-level and then at the regional-level forestry policy plans.

Good examples of spatial adaptation measures in France are planning tools that have been significantly improved regarding:

- the development of the national integrated coastline management strategy for coastal areas, with the first calls for a experimental project dealing with the relocation of activities and property and with the call for projects concerning the inclusion of coastlines in the territorial coherence schemes (SCOT),
- the development of local strategies of flood risk management and the integration of the increase of the baseline sea levels in the coastal risks prevention plans (PPR),
- the inclusion of an adaptation section in the mountains schemes signed in 2015 for the period 2015-2020,
- the integration of ecological continuity plans (green and blue belts) in urban planning documents,
- the “EcoDistrict” label managed by the Ministry of territorial cohesion and the ministry for an ecological and fair transition, with the commitment to produce urban planning which anticipates and adapts to climate risks and changes. The EcoDistrict labelling process was launched in 2012 and since then gathered about 300 projects at different level of completion, which are all going to be evaluated based on feedback of inhabitants, following an integrated approach.

## **Greece**

An integrated national-regional approach is followed to adapt Greece to climate change, considering the country’s complex topography and variety of climates. That is: a national adaptation strategy (adopted by Law 4414/2016) developed by national authorities, namely the Ministry of Environment & Energy and 13 Regional Adaptation Plans (RAPs) developed by the regional authorities. The national strategy works as a guiding document. It spells out the goals, principles and priorities of adaptation and lists potential adaptation measures per sector. The Regional Adaptation Plans (RAPs) will examine these potential measures based on the particular regional circumstances, priorities and needs and will develop concrete regional action plans. Wherever there is a case of sector or geographical area analysis specific actions per sector or area will be indicated. The majority of RAPs is still at procurement phase and they are expected to be in place by the end of 2018.

A National Climate Change Adaptation Committee is responsible for the coordination, observation and evaluation of the national climate change adaptation policy. The Committee is composed of the representatives of the main ministries and stakeholders involved in climate change adaptation and will be chaired by the Minister of Environment & Energy. Local and regional government is represented through the Central Union of Municipalities and the Union of Regional Administrations, while the citizens through an NGO.

The building environment is one of the sectors included in NAS and RAPs, with a particular focus on cities and urban settlements. More specifically, the NAS includes actions to:

- Adapt urban planning to climate change (i.e. better use and placement of open spaces to increase urban ventilation);
- Improve the micro-climate of urban-areas: increase green-areas and green-infrastructure (i.e. green-roofs);
- Promote the use of innovative and more adaptive building materials;
- Explore the need to revise the National Building Code and the National Regulation for Buildings' Energy Performance to include cities-microclimate aspects and to better adapt to future climatic conditions.

Examples of these types of actions include:

- The Ministerial Decision 911/2012 (Government Gazette, issue B', number 14/11-01-12) on the terms, conditions and procedures for green infrastructure constructions on buildings' roofs and open-air areas.
- The Master Plan for the City of Athens and the Attica Region (Law 4277/2014) that sets adaptation to climate change as one of its strategical goals, provides specific directions towards adaptation of urban areas and Attica Region (i.e. directions to improve urban microclimate and to secure and connect forest and green areas), and foresees development of action plans for specific priority sectors, including action plan for climate change adaptation.

Several Greek municipalities are engaged in the European Covenant of Mayors for Climate and Energy and promote adaptation activities at local level. In addition, several Greek islands have signed the **Pact of Islands**<sup>42</sup> run in parallel to the European Covenant of Mayors for Climate and Energy.

The Municipality of Athens has been the first city in Greece to develop an integrated Climate Action Plan for both mitigation and adaptation, following the example of other megacities around the world. The Action Plan has been developed by the municipality's technical service, receiving technical support and training from the "C40 – Cities Climate Leadership Group" and "100 Resilient Cities" international networks. The Action Plan is combined to the Municipal Operational & Technical Programme, the Integrated Urban Interventions Plan and the Municipal Sustainable Development and Resilience Strategies.

Adaptation actions and measures related to human settlements identified in the NAP and RAPs will be mainly implemented through the European Structural and Investment Funds 2014-2020 (i.e. the 13 Regional Operational Programme and the Sectoral Operational Programme Transport Infrastructure, Environment & Sustainable Development).

Adaptation actions and measures could also be funded by the National Green Fund. The 'Green Fund' was set up under Law 3889/2010 with revenue from various sources (energy distributors, fines for environmental infringements, etc.). This fund is to provide administrative, economic, technical and financial support for programmes, measures, interventions and initiatives to secure, improve and restore the environment.

## Hungary

- **National Adaptation Strategy**

On the national level the first National Climate Change Strategy of Hungary (NCCS I) was adopted by the Hungarian Parliament in 2008. Now, in the light of the Paris Agreement, the second National Climate Change Strategy (NCCS II) has been submitted to the Hungarian Parliament which will include a National Decarbonization Strategy and a National Adaptation Strategy (NAS) as well. Furthermore, the National Adaptation Geo-information System was launched in 2016 to support strategic planning and decision making related to climate adaptation both at national and regional level. This will be complemented by a National Greenhouse Gas Database as well.

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<sup>42</sup> <http://www.sustainableislands.eu/pact-of-islands/what-is-pact-of-islands.html>

Compared to the NCCS I, adaptation plays a much more prominent role in the NCCS II and the NAS can be regarded as a stand-alone strategic document and at the same time Hungary's first adaptation strategy. The NAS provides information on the following: 1) role of adaptation in current national sectoral strategies, 2) link to EU policy, 3) climate change impacts on natural resources and socio-economic sectors, 4) vulnerability assessment building on the National Adaptation Geo-information System (NAGiS), 5) specific adaptation options, and 6) short-, mid-, and long-term adaptation actions for all impacted sectors. The overarching objectives of the NAS are the following:

1. Ensure the quality of natural resources and their sustainable use;
2. Support regional adaptation actions and the development of regional adaptation strategies and integrate these into regional development plans;
3. Support the development of sectoral adaptation strategies and the integration of adaptation into sectoral strategies, in particular for the vulnerable sectors (agriculture, tourism, energy, transport, buildings and telecommunication);
4. Support horizontal integration of adaptation in strategic sectors, such as disaster risk reduction, critical infrastructure in the water sector and in rural regions;
5. Understand and improve the adaptive capacity of society; and
6. Support research and innovation and make research publicly available.

The NCCS II is expected to be adopted in autumn 2017.

### **Tiszatarján, renewable energy project, One Europe – More Nature, OEMN programme with the co-operation of WWF**

Conditions of floodplain habitats are getting worse along the Tisza river, natural habitats are shrinking as there are fewer floodplain forests and pastures, and fewer water habitats. A great part of the once typical floodplain pastures and water habitat banks are infested with invasive shrubs (e.g. false indigo bush), which significantly increase flood vulnerability. Furthermore, there are more invasive species in the forests than endemic species and the biodiversity is visibly lower. In cooperation with the local government in Tiszatarján, biomass was produced from the false indigo bush that had been cut on the former pastures and water habitats. At the same time they revegetated a part of former habitats (water beds, oxbows, back swamps) and they reserved the best environmental condition on vulnerable pastures by grazing. Forests and endemic energy plantations are grown on land with the lowest productivity and on abandoned arable land to produce easily accessible biomass.

The above described cultivation serves **economical and nature conservation purposes** and local inhabitants benefit from energy plants and cutting down false indigo bushes. Moreover, it contributes to **better conditions on the floodplain** and to rising the quality of life. Cutting the aggressively spreading invasive false indigo bush (*Amorpha fruticosa*) is important not only for nature conservation, but also for the economy. Due to the recognition of the natural capital, now all of the public institutions of the town use false indigo and indigenous willow for heating, which saves around 30 000 Euro each year. The next milestone was the realization that false indigo is an ideal biomass material, thus it can be transported to power plants to **produce energy**. Local people (14 public workers) cut the false indigo bush on the floodplains and transport it to the nearby power plant in Tiszaújváros. This way they get rid of the invasive plant that kills endemic species, they provide jobs for people and **reduce their dependence on gas**. Afterwards energy plantations with endemic white and furry willow are grown on the cleaned land with monitored circumstances. The power plant receives the biomass material with the certificate of the WWF which proves that the plants came from a land where cultivation is proper from a nature conservation point of view. On the other part of the land there is no cultivation, but it is maintained by old Hungarian animal species, like buffalos and grey cattle. Also, the new land and water management provides an opportunity to **develop eco-tourism** in the area, and the reappearing of rare species like the water buffalos, grey cattle, and beavers could be attractive to visitors as well.<sup>43</sup>

- **Urban Heat Island project**

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<sup>43</sup> <https://www.youtube.com/watch?v=OUkWLnXlbcU>

In the framework of the **UHI Project**<sup>44</sup> (2011-2014), the Hungarian Meteorological Service (OMSZ) suggested climate-conscious urban development plans over the pilot area in Budapest. This project is implemented through the CENTRAL EUROPE Programme co-financed by the ERDF. The methods applied within the UHI Project are not new to urban planning: it is well known that vegetation, for example, cools the environment through evapotranspiration; and these methods represent the primary tools employed in the redevelopment of outdoor public spaces in general. The novelty of the project – which is hopefully of revolutionary significance – lies in its ability to predict and calculate reliably the climatic effects of the tools employed, as well as the possibility to distribute these tools widely. Background support for the experiment was provided by a computer program called ENVI-met, which, based on knowledge of the existing situation, is able to use several dozen climatic variables to calculate changes that would occur if the plans were realised.

Nowadays, construction works are ongoing in the pilot area in Budapest, where green area development was suggested to be introduced. Before starting of a brown field reconstruction in this area, a tender was issued for the design of green surfaces and park and for its visualization. Landscape designers of the UHI project have participated in this competition, where their plans have been awarded and have been considered to be implemented.

- **Climate modelling activities**

At the Hungarian Meteorological Service (OMSZ) climate modelling research activity supports national adaptation strategies with scientifically sound future climate information. Reasonable conclusions cannot be drawn based on results of a single climate model run but only through quantifying the projection uncertainties – a small set of simulations consisting of different models using different emission scenarios allows us to portray it to some extent. The research at OMSZ is based on this scope and it is accomplished through the financial support of various national and international projects.

In the framework of the **ORIENTGATE**<sup>45</sup> project (financed by the SEE Programme in 2013), OMSZ provided their locally-run data to support the assessments of increasing heatwaves in the city of Budapest and a county in Hungary.

Objective decision making is fostered by the National Adaptation Geo-information System (**NAGiS**<sup>46</sup>, from 2013) through impact assessments based on several future climate projections by regional climate models implemented in Hungary. In its framework, different sectoral impact studies are coordinated to support the adaptation to climate change impacts and related decision making in Hungary. Within the **KRIGiS**<sup>47</sup> project (2015), the climate information basis was utilized in vulnerability assessments on tourism, human health and critical infrastructure. In the **RCMGiS**<sup>48</sup> project, the improvement of the available climate projections was carried out jointly with the Eötvös Loránd University, Department of Meteorology between 2014 and 2016, applying the most recent climate model versions, larger domains and the newest RCP anthropogenic scenario family. Fundings were provided by the EEA Grants.

Participation in the **DECM**<sup>49</sup> project (late 2016–2018) also could serve as a good practice in using the European-scale climate projections in European climate services under the umbrella of the Copernicus Climate Change Services.

Our latest project, KlimAdat entitled „*Assessment of climate change impacts in Hungary with regional climate model simulations and development of a representative climate database*” (funded by the ERDF and the CF), a gradual extension of the NAGiS climate information is currently being achieved from late 2016 to 2020. New climate model simulations are performed, the results of which will be put into a geoinformation system.

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<sup>44</sup> <http://eu-uhi.eu/>

<sup>45</sup> <http://www.orientgateproject.org>

<sup>46</sup> <http://nater.mfgi.hu/en>

<sup>47</sup> <http://www.met.hu/KRITeR/en/kezdo/index.php>

<sup>48</sup> <http://www.met.hu/RCMTeR/en/kezdo/index.php>

<sup>49</sup> <http://decml.climate.copernicus.eu/>

Within and besides the mentioned projects, OMSZ have a great liaison with the public and organises trainings and workshops to continue the established dialogues between researchers and users with different scientific background. These trainings provide assistance to utilise climate information in a probabilistic form being a fundamental basis for proper adaptation and mitigation actions.

## **Italy**

The Italian National Adaptation Plan for Climate Change (NAP), currently under consultation, provides institutional guidance to other ministries, regions, local authorities and technical-scientific background information, for the integration of adaptation within policy processes. The plan includes also an analysis, which evaluates the roles of the competent authorities involved in the implementation of adaptation actions per each sector, with a section dedicated to proposing strategic actions and governance models for the future, in line with plan.

A particular focus is given also to urban settlements for the implementation of adaptation actions, as 90% of the Italian population lives there. Urban centers deliver essential social and cultural services, and as a result, they become climate "hot spots", condensing the high concentration of sensitive subjects and activities.

A comprehensive observational network covers already the Italian territory and indicators are being developed and will be implemented and monitored at national and local level. At regional level, some Italian regions:

- have a regional plan or strategy for adaptation (e.g. Lombardia, Emilia Romagna, Autonomous Province of Trento, Valle d'Aosta);
- have recognized the cross-cutting nature of adaptation in their governance model (e.g. Sardegna, Calabria, Puglia);
- are reviewing their regulatory measures (e.g. EIA) and planning tools (e.g. EU Structural Funds) considering adaptation (e.g. Abruzzo, Molise);

Some regions are promoting adaptation at local level by participating in the European Covenant of Mayors for Climate and Energy programs (e.g. Lazio, Abruzzo);

Under the European cooperation for regional development programmes (ERDF), La Direzione generale per il clima e l'energia (DG-CLE) has coordinated a project to support the regional environmental authorities of four Italian regions (Calabria, Sicilia, Campania and Puglia) to implement the principles of the National Adaptation Strategy in future regional adaptation plans. A report for each region has been released in October 2016. In 2017 the Ministero dell'Ambiente e della Tutela del Territorio e del Mare (MATTM) plans to extend this project to all Italian regions.

## **The Netherlands**

By the end of 2016, the Netherlands finalized its National Adaptation Strategy (NAS). This Strategy is the result of a participative process involving public sector authorities at regional and local level, water management authorities, knowledge institutes, private sector companies and societal organizations.

The NAS introduces various new initiatives and will accelerate the progress of ongoing initiatives. It builds upon a decade of climate adaptation policy and, in combination with the Delta Programme, sets out the Netherlands' response to climate change.

The NAS uses four diagrams ('Hotter', 'Wetter', 'Drier' and 'Rising Sea Level') to visualize the effects of climate change within nine sectors: water and spatial management; nature; agriculture, horticulture and fisheries; health and welfare; recreation and tourism; infrastructure (road, rail, water and aviation); energy; IT and telecommunications; public safety and security.

The NAS forms the precursor to a Climate Adaptation Implementation Programme which will build upon ongoing activities. Where necessary, the implementation programme will fast-track the existing initiatives by providing additional manpower and resources.

The necessity of climate adaptation can only increase in the years ahead, as will the urgency with which measures must be implemented. But it is not possible to plan everything in advance; there remain too many unknowns. It is a question of 'learning by doing' and this concept underpins the NAS.

Examples:

#### 1. Cooperation between local authority and insurance company

The City of Tilburg and the insurance company Interpolis are working together on climate adaptation. The partners share knowledge and information relating to the damage caused by extreme weather. For example, Interpolis reports the number of claims received from certain postcode districts, together with their total monetary value. Further analysis of the data in the claims database will help both parties understand the risks and how they can be addressed. An inspection tour of one affected neighbourhood is planned, during which experts from Interpolis and the local authority will assess the situation and share their experiences. Although the partnership is still in its early days, there is a very real prospect of a 'win-win' situation. The local authority will be able to implement effective measures and plan its maintenance budgets more accurately. Interpolis will receive fewer claims.

#### 2. Climate Adaptation City Deal

In September 2016, fourteen public sector authorities and twelve (semi-) private organizations formed the Climate Adaptation City Deal partnership, which aims to move climate adaptation in the urban environment onto the next level. Over the coming four years, the partners will share their knowledge and experience as they work to implement the Delta Decision on Spatial Adaptation. Various pilot projects will be undertaken to demonstrate how climate-proof solutions help to create a pleasant and healthy human environment while also reducing management and maintenance costs. The programme hopes to inspire other cities to follow its example.

The partners will develop new governance arrangements, financing structures and innovative solutions, all of which will be subject to a careful assessment of effectiveness and added value. Results will be shared with national and international partners through an open platform.

### **United Kingdom**

#### **Managing Climate Risks for the Urban Poor (MCRUP) programme**

The Managing Climate Risk for Urban Poor in Asia programme (MCRUP) administered through the Urban Climate Change Resilience Multi Donor Trust Fund helps cities plan for, and invest in, reducing the impacts of weather-related changes and extreme events, and natural resource scarcity, on the urban poor in 25 medium-sized cities in seven Asian countries (working with Pakistan, Bangladesh, India, Vietnam, Philippines, Burma and Indonesia).

Across all the cities, the programme will support at least 20 large scale infrastructure projects and 40 soft investments<sup>50</sup> which build resilience, alongside 25 city planning processes as well as attract up to \$1 billion in public, private and domestic financing of resilient infrastructure. This will help at least 2.2 million poor people better cope with the impacts from climate change and build resilient cities. In addition promote urban resilience in 40% of the ADB urban portfolio in priority countries.

The Managing Climate Risks for the Urban Poor supports the delivery of the Asia Regional Department's Business Plan (BP) commitments on climate resilience. The March 2016 ART OP targets on numbers of people supported, financing mobilized, and policies influenced, were all met by MCRUP, also indirectly

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<sup>50</sup> "Soft measures" are non-physical infrastructure investments that improve resilience in a city. Priority soft measures identified include early warning systems, surveillance systems, spatial mapping, land use planning, water use and demand systems work, regulatory or policy reforms.

contributing to the UK International Climate Fund (ICF) Departmental Results Framework people indicator, adaptation spend targets and Department of International Development's (DFID's) economic development commitments. The programme is a flagship for our urban resilience work in DFID, and proactively sharing its lessons with other urban development programmes in country (Bangladesh, Pakistan) and with DFID central programmes.

Achievements from 2015/16 include:

1. Urban resilience plans for 10 cities in three countries are complete. 15 new urban master plans that integrate climate change have been initiated in Bangladesh; and best practice on resilience planning has been shared within ADB, and between cities in Bangladesh and Pakistan.
2. \$10 million in investment grants for three cities in two countries (India and Burma) have been approved for: an early warning system, which will complement new drainage in Kolkata; a community-based solid waste management to reduce flooding in Mandalay, which has potential to influence the quality of a \$60m French Development Agency (AFD) investment on waste water management implemented alongside the Urban Climate Change Resilience Trust Fund (UCCRTF) grant; and, an upgrade of Vishakhapatnam's disaster management facility.
3. UCCRTF has identified entry points in \$860m lending for infrastructure from within Asian development Bank (ADB). There is also \$350m of counterpart domestic financing which is being pledged against various infrastructure projects. \$2.5m from USAID and Nordic aid is supporting the work on the Vietnam National Urban Development Strategy. UCCRTF has the potential to influence the delivery of all this finance.
4. Strengthened stakeholder processes (women focus groups, slum committees, ward plans) have been implemented in the 10 city planning processes. 10 Community initiatives have been identified and 4 will be taken up into an investment grant (solid waste management). 2896 professionals and city stakeholders have been trained and supported through the planned activities, pre-feasibility studies and infrastructure design work, and dis-aggregated data is available.
5. The UCCRTF secretariat has recognised this year that to be more effective it needs to engage more proactively with ADB's lending departments. The Secretariat has been working directly with ADB Operations Units to develop resilience concepts in the loan proposals, assisting in procurement of resilience expertise, etc. As a result, UCCRTF has been able to include resilience impact indicators into two large lending projects: Climate Change Resilient Urban Planning and Community-based Solid Waste Management: Support to Mandalay Urban Services Improvement Project (\$129.9m) and Kolkata Environmental Improvement Investment Programme (KEIIP) (\$286m).
6. Extensive engagement and consultations with the lending departments has resulted in a pipeline of future projects of \$83 million: Bangladesh (\$17m), Vietnam (\$18m), Burma (\$14m), Pakistan (\$14m), Philippines (\$8m), Indonesia (\$6m), and India (\$6m).
7. ADB sector Trust Funds generally support projects in one sector, which for the case of UCCRTF is urban. However, because urban resilience requires the resilience of critical systems in all urban sectors, such as health, finance, and transport, the secretariat has sought to create cross-sectoral links. In the past year, UCCRTF has supported two small-scale projects (below \$225,000) in non-urban sectors, namely transport and health, to develop scalable approaches to multi-sectoral urban resilience.
8. The DFID-funded Adviser is finally in post, and new Resilience and M&E specialists were recruited into UCCRTF. There are 5 new project approvals.

We are also employing two new tools in our work:

- **The Resilience Academy** of the Asian Development Bank offers a successful approach to develop adaptation actions in particular in cities by a participatory process.<sup>51</sup> It is an intensive project development workshop designed to connect inter disciplinary teams from cities with technical expertise to arrive at solutions that address a wide range of city shocks (climate and disaster related) and stresses. MCRUP is using this methodology for supporting selected 11 secondary cities in 6 Asian countries to design community led projects that will complement ongoing ADB projects and enhance resilience of the poor and vulnerable communities.
- The **Spatial Applications Facility** has been set up in ADB under MCRUP support for innovative application of spatial information for city planning and resilient infrastructure development. This will strengthen the capacity of ADB and Developing Member countries to build an online baseline data repository and visualization that provides upfront resources for city planning and resilient infrastructure project design, implementation and monitoring. The pilot is being implemented in 2 cities in Bangladesh and 3 cities in Vietnam.

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<sup>51</sup> See also <http://k-learn.adb.org/system/files/materials/2017/04/201704-adb-resilience-academy.pdf>





Conselho da  
União Europeia

Bruxelas, 19 de outubro de 2017  
(OR. en)

13101/17  
ADD 1

ECOFIN 812  
ENV 836  
CLIMA 273  
FIN 611

## RESULTADOS DOS TRABALHOS

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de: Secretariado-Geral do Conselho

para: Delegações

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Assunto: Financiamento das alterações climáticas  
- Conclusões do Conselho sobre o financiamento das alterações climáticas  
(10 de outubro de 2017)

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Nas conclusões do Conselho sobre o financiamento da ação climática, adotadas pelo Conselho (ECOFIN) na sua 3563.<sup>a</sup> reunião que teve lugar em 10 de outubro de 2017 no Luxemburgo, o ponto 9 deverá passar a ter a seguinte redação no anexo à presente adenda:

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O Conselho:

9. REALÇA a contribuição de 20,2 milhões de euros<sup>1</sup> que a UE e os seus Estados-Membros prestaram em 2016 para o financiamento da ação climática e que representa um aumento significativo relativamente a 2015.
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<sup>1</sup> Este montante inclui as fontes de financiamento neste domínio provenientes de orçamentos públicos e de outras instituições financeiras de desenvolvimento, tal como comunicadas pelos Estados-Membros no contexto do artigo 16.º do Regulamento (UE) n.º 525/2013 do Parlamento Europeu e do Conselho, de 21 de maio de 2013. Inclui também o financiamento da ação climática no montante de 2,7 mil milhões de euros provenientes do orçamento da UE e de 1,9 mil milhões de euros provenientes do BEI.



Bruxelas, 13 de outubro de 2017  
(OR. en)

13198/17

CLIMA 275  
ENV 843  
ONU 134  
DEVGEN 228  
ECOFIN 823  
ENER 403  
FORETS 42  
MAR 174  
AVIATION 133

## RESULTADOS DOS TRABALHOS

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de: Secretariado-Geral do Conselho

data: 13 de outubro de 2017

para: Delegações

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n.º doc. ant.: 12911/17 CLIMA 261 ENV 805 ONU 126 DEVGEN 220 ECOFIN 789  
ENER 384 FORETS 39 MAR 166 AVIATION 127

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Assunto: Acordo de Paris e preparativos para as reuniões da CQNUAC  
(Bona, 6-17 de novembro de 2017)  
- Conclusões do Conselho

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Junto se enviam, à atenção das delegações, as conclusões do Conselho sobre o assunto em epígrafe, adotadas pelo Conselho na sua 3565.ª reunião, que teve lugar em 13 de outubro de 2017.

**Acordo de Paris e preparativos para as reuniões da CONUAC**

**(Bona, 6-17 de novembro de 2017)**

**– Conclusões do Conselho –**

O CONSELHO DA UNIÃO EUROPEIA,

**Ação mundial no âmbito do Acordo de Paris**

1. SUBLINHA a importância crucial de uma ordem mundial assente em regras, tendo por princípio fundamental o multilateralismo e por eixo as Nações Unidas, em prol de um mundo pacífico e sustentável;
2. CONGRATULA-SE com a rápida entrada em vigor do Acordo de Paris, que atesta a determinação da comunidade internacional em enfrentar o desafio comum das alterações climáticas; SALIENTA que o Acordo de Paris é irreversível e que a sua plena integridade e aplicação são fundamentais para a segurança e a prosperidade de todo o planeta; REALÇA o sinal claro dado aos governos, às autoridades infranacionais, à sociedade civil, às empresas e ao setor privado sobre a direção das ações mundiais no domínio das alterações climáticas;
3. RECONHECE com grande preocupação a crescente intensidade e/ou frequência de fenómenos meteorológicos extremos que causaram um elevado número de vítimas mortais e desencadearam uma deslocação maciça de populações, que afetaram a subsistência e a saúde de milhões de pessoas em todo o mundo e que resultaram em danos na ordem dos milhares de milhões de euros em infraestruturas e nos ecossistemas; REGISTA que, de acordo com dados científicos, as alterações climáticas contribuem para o aumento da intensidade e/ou frequência desses fenómenos meteorológicos extremos; CONSTATA com preocupação as recentes conclusões do Conselho Ártico de que a subida das temperaturas no Ártico é mais do que o dobro da média mundial, com consequências graves para o planeta;

4. REALÇA que a participação e o contributo de cada um dos países são essenciais para reforçar a resposta mundial à ameaça das alterações climáticas e para atingir os objetivos a longo prazo do Acordo de Paris, no contexto do desenvolvimento sustentável, da erradicação da pobreza, da segurança alimentar, da igualdade de género, do respeito pelos direitos humanos, do respeito pelos direitos dos povos indígenas e das comunidades locais, e da proteção da biodiversidade; MANIFESTA a sua solidariedade para com os mais vulneráveis aos efeitos adversos das alterações climáticas;
5. REITERA o compromisso da União Europeia de aplicar plenamente o Acordo de Paris, expresso mais recentemente pelo Conselho Europeu de junho de 2017 e pelo Conselho dos Negócios Estrangeiros de 19 de junho; SALIENTA a importância decisiva do Acordo de Paris como instrumento mundial destinado a melhorar a ação coletiva contra as alterações climáticas, a contribuir para a segurança mundial e a acelerar a transição para economias e sociedades com baixas emissões de gases com efeito de estufa, sustentáveis e resilientes às alterações climáticas;
6. REAFIRMA que a UE continuará a liderar os esforços mundiais de combate às alterações climáticas e continua empenhada em prosseguir a cooperação com todas as Partes no que respeita à aplicação do Acordo de Paris, continuará a reforçar as parcerias existentes e a procurar estabelecer novas alianças com os nossos parceiros internacionais e colaborar com diversos intervenientes, que têm manifestado o seu apoio ao Acordo de Paris e que estão a tomar medidas ambiciosas a favor do clima; EXORTA todos os parceiros a manterem a dinâmica para que haja resultados frutuoso na COP 23, na COP 24 e para além delas;
7. CONGRATULA-SE com a ratificação do Acordo de Paris por 166 Partes, incluindo a conclusão dos procedimentos de ratificação por todos os Estados-Membros da UE; INCENTIVA todos os outros países a ratificarem o Acordo o mais rapidamente possível; REITERA o seu firme apoio à abordagem inclusiva, garantindo que todas as Partes podem participar e contribuir plenamente para a operacionalização e aplicação do Acordo de Paris;

## **Avançar com a aplicação do Acordo de Paris**

8. REITERA o compromisso da UE de prosseguir a aplicação das suas políticas climáticas em conformidade com o quadro de ação relativo ao clima e à energia 2030 para a União Europeia, acordado pelo Conselho Europeu de outubro de 2014; CONGRATULA-SE com os progressos tendentes à concretização do contributo determinado a nível nacional (CDN) da UE e dos seus Estados-Membros para atingir a meta de reduzir as emissões de gases com efeito de estufa no seu território em pelo menos 40 % até 2030, em relação aos níveis de 1990; RECONHECE a importância dos objetivos a longo prazo e dos ciclos de revisão quinquenais para a aplicação do Acordo de Paris;
9. SUBLINHA que a UE está no bom caminho para cumprir o objetivo de reduzir as suas emissões de gases com efeito de estufa em 20 % até 2020, em relação aos níveis de 1990; REITERA que a UE e os seus Estados-Membros já cumprem as obrigações assumidas no âmbito do segundo período de compromisso do Protocolo de Quioto e que, de acordo com dados recentes, é provável que excedam a sua meta para 2020, isto enquanto a economia cresceu;
10. INSTA todos os países a prepararem e concretizarem os seus contributos determinados a nível nacional (CDN), bem como, se for caso disso, os processos de planeamento nacional de adaptação; OBSERVA que o esforço e as medidas dos países do G20, responsáveis por cerca de 80 % das emissões mundiais de gases com efeito de estufa, são de extrema importância; REITERA o compromisso assumido pela UE e pelos seus Estados-Membros de continuarem a partilhar experiências com os países parceiros e de os apoiarem no desenvolvimento e na concretização dos seus CDN, no contexto de um desenvolvimento com baixas emissões e resiliente às alterações climáticas, e de fomentarem a articulação entre os CDN e as estratégias de desenvolvimento nacionais, nomeadamente através de iniciativas como a Parceria CDN; RECONHECE os esforços envidados pelos países menos avançados e pelos pequenos Estados insulares em desenvolvimento;

11. SUBLINHA o facto de a cooperação multilateral no quadro da Convenção e as ações voluntárias e de cooperação, através da Agenda Mundial de Ação Climática (GCAA), contribuírem cada vez mais para a consecução dos objetivos do Acordo de Paris; APRECIA os esforços e promessas, atuais e anunciados, das autoridades infranacionais, das empresas e da sociedade civil, bem como de outros intervenientes não estatais, no sentido de promover a ação climática; CONVIDA a que se redobre de esforços neste domínio; CONGRATULA-SE com o trabalho dos paladinos da ação climática mundial; ENCORAJA os seus esforços no sentido de promoverem a compreensão dos progressos e resultados das iniciativas e coligações da GCAA; e APOIA a sua abordagem em relação à parceria de Marraquexe para a ação climática mundial;
12. SUBLINHA o papel fundamental desempenhado pelo PIAC ao contribuir com dados científicos para o trabalho da CQNUAC e constituir a principal base científica para a aplicação do Acordo de Paris; AGUARDA COM EXPECTATIVA o relatório especial do PIAC sobre os efeitos de um aquecimento global de 1,5 °C em relação aos níveis pré-industriais, e sobre a correspondente trajetória das emissões mundiais de gases com efeito de estufa; CONSIDERA que esse relatório será uma valiosa fonte de informação tendo em vista os debates no próximo ano no contexto do diálogo facilitador de 2018;
13. SALIENTA a importância das estratégias de desenvolvimento a longo prazo com baixas emissões de gases com efeito de estufa enquanto instrumento político para o desenvolvimento de vias fiáveis e das mudanças estratégicas de longo prazo necessárias para atingir os objetivos do Acordo de Paris; e INCENTIVA o desenvolvimento dessas estratégias; CONGRATULA-SE com a iniciativa da Comissão Europeia e dos Estados-Membros de preparar uma análise aprofundada dos impactos ambientais, económicos e sociais das vias que são coerentes com os objetivos a longo prazo do Acordo de Paris em matéria de temperatura, a fim de contribuir para os debates políticos da UE, tendo em vista a elaboração de uma estratégia da UE em conformidade com o n.º 35 da Decisão 1/CP21;
14. RECORDA que uma ação climática ambiciosa constitui uma prioridade estratégica nos diálogos diplomáticos da UE e dos seus Estados-Membros para reforçar a cooperação e as ações concretas conjuntas com países parceiros, em conformidade com o plano de ação para a diplomacia climática de 2016 e as conclusões do Conselho de março de 2017 sobre a diplomacia climática e a diplomacia energética da UE;

15. RECORDA as suas conclusões de 10 de outubro de 2017 sobre o financiamento da ação climática]; [REAFIRMA que a UE e os seus Estados-Membros estão empenhados em continuar a aumentar a mobilização do financiamento internacional da ação climática, como elemento constitutivo do objetivo coletivo dos países desenvolvidos de mobilizarem conjuntamente 100 mil milhões de USD por ano a partir de 2020 e até 2025, de diversas fontes, instrumentos e canais, para fins de atenuação e adaptação; REITERA que o financiamento público da ação climática continuará a desempenhar um papel substancial; SUBLINHA que a UE e os seus Estados-Membros são os maiores fornecedores de financiamento público da ação climática e salienta a necessidade de uma futura participação de um leque mais alargado de países contribuintes;
16. REITERA o seu apelo a todas as Partes para que concebam o balanço mundial como o elemento essencial de um ciclo de ambições mais vastas que incentivará e dará forma a processos destinados a reforçar progressivamente uma ação ambiciosa, tanto a nível nacional como coletivo; CONSIDERA que o balanço mundial deverá resultar num entendimento comum acerca do efeito global dos contributos das Partes e do que tem de ser feito coletivamente para atingir os fins do Acordo de Paris e os seus objetivos a longo prazo, bem como para concretizar as oportunidades de ação climática; SALIENTA a importância de procurar chegar a calendários comuns para os CDN de todas as partes;

### **Resultados a atingir na COP 23**

17. APRECIA a liderança ímpar das Fiji como primeiro pequeno Estado insular a presidir a uma COP; CONFIRMA o seu apoio à próxima Presidência fijiana da COP/MOP/CMA nas suas iniciativas antes e durante a COP 23, com vista ao êxito da reunião;
18. SAÚDA as consultas inclusivas e transparentes realizadas em maio de 2017 pela atual Presidência marroquina e pela próxima Presidência fijiana da COP sobre a organização do diálogo facilitador de 2018, o primeiro grande momento político depois de Paris, em que as Partes farão o balanço dos esforços coletivos com vista ao cumprimento do objetivo estabelecido no artigo 4.º, n.º 1, do Acordo de Paris; REGISTA que os resultados do diálogo facilitador darão forma aos preparativos dos CDN nos termos do n.º 20 da Decisão 1/CP.21; SALIENTA a importância de no final da COP 23 se dispor de suficiente clareza sobre o modo como será conduzido o diálogo facilitador de 2018; PREVÊ que a UE e os seus Estados-Membros tenham uma participação ativa no diálogo facilitador de 2018;



19. ESPERA que o evento de alto nível com os paladinos da ação climática mundial durante a COP 23 seja construtivo e que os intervenientes não estatais assumam um papel reforçado;
20. RECONHECE os progressos realizados no programa de trabalho de Paris pela COP 22 de Marraquexe e nas reuniões dos órgãos subsidiários realizadas em Bona, em maio de 2017; SUBLINHA que a COP 23, que terá lugar em Bona, deverá realizar progressos substanciais sob a forma de projetos de decisões ou elementos textuais em todos os pontos do programa de trabalho de Paris sujeitos a mandato, tendo em vista garantir a adoção de decisões na COP 24; É FAVORÁVEL a que se faça avançar a preparação da aplicação de todas as disposições do Acordo de forma equilibrada, incluindo a atenuação, a adaptação, os meios de execução e o quadro de transparência como elemento crucial para assegurar a eficácia do Acordo de Paris;
21. ESPERA trabalhar de forma produtiva com as outras Partes, antes e durante a COP 24, que terá lugar em Katowice, na Polónia, em 2018, com vista à obtenção de um resultado positivo no âmbito do programa de trabalho acordado para preparar a aplicação do Acordo de Paris;

#### **Outros processos**

22. SALIENTA a importância de continuar a melhorar a coerência da coordenação e as sinergias entre o Acordo de Paris, a Agenda 2030 para o Desenvolvimento Sustentável, o Quadro de Sendai para a Redução do Risco de Catástrofes, bem como com outras Convenções do Rio e estratégias pertinentes das Nações Unidas; OBSERVA que estes instrumentos multilaterais demonstraram que todos os Estados membros da ONU necessitam e são capazes de trabalhar em parceria para darem resposta a questões globais – alterações climáticas, desenvolvimento sustentável e esforços no sentido de reduzir e gerir o risco de catástrofes e para erradicarem a pobreza;

23. CONGRATULA-SE com a adoção, na 28.<sup>a</sup> reunião das Partes, da Alteração de Quigali do Protocolo de Montreal sobre as Substâncias que Deterioram a Camada de Ozono, para reduzir progressivamente os hidrofluorcarbonetos (HFC), e RECORDA a adoção pelo Conselho da decisão relativa à celebração, em nome da UE, da Alteração de Quigali do Protocolo de Montreal; CONGRATULA-SE com o facto de uma série de Estados-Membros já ter iniciado e de alguns já terem concluído os seus procedimentos nacionais de ratificação da Alteração de Quigali; INCENTIVA os outros Estados-Membros a concluírem os seus procedimentos nacionais de ratificação e as outras Partes a ratificarem a Alteração de Quigali, o mais rapidamente possível, a fim de assegurar que entre em vigor em 1 de janeiro de 2019;
24. CONGRATULA-SE com o acordo alcançado pela Organização da Aviação Civil Internacional (OACI) sobre o Regime de Compensação e Redução das Emissões de Carbono para a Aviação Internacional (CORSIA) e aguarda com expectativa a conclusão das suas regras operacionais e a sua aplicação atempada; SUBLINHA a necessidade de assegurar a integridade ambiental, nomeadamente evitando a dupla contabilização; CONVIDA todas as Partes a participarem na fase voluntária do regime CORSIA;
25. INSTA a Organização Marítima Internacional (OMI) a continuar a acelerar os seus esforços no sentido de reduzir as emissões de gases com efeito de estufa provenientes do setor marítimo e a adotar, em abril de 2018, uma ambiciosa estratégia inicial da OMI para a redução das emissões de gases com efeito de estufa provenientes de navios, incluindo novas medidas em consonância com o roteiro da OMI os objetivos a longo prazo do Acordo de Paris em matéria de temperatura.
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