



**UNITED  
NATIONS**



**Framework Convention  
on Climate Change**

Distr.  
GENERAL

FCCC/AWGLCA/2008/INF.1  
23 May 2008

ENGLISH ONLY

**AD HOC WORKING GROUP ON LONG-TERM COOPERATIVE ACTION  
UNDER THE CONVENTION**

**Second session**

**Bonn, 2–12 June 2008**

**Item 3 (a–e) of the provisional agenda**

**Enabling the full, effective and sustained implementation of the Convention through long-term cooperative action now, up to and beyond 2012, by addressing, inter alia:**

**A shared vision for long-term cooperative action**

**Enhanced national/international action on mitigation of climate change**

**Enhanced action on adaptation**

**Enhanced action on technology development and transfer to support action on mitigation and adaptation**

**Enhanced action on the provision of financial resources and investment to support action on mitigation and adaptation and technology cooperation**

**Information on ongoing work under the Convention as it relates to the  
Bali Action Plan**

**Note by the secretariat\***

*Summary*

This note provides brief descriptions of all ongoing work under the Convention and its Kyoto Protocol that is related to the elements of decision 1/CP.13 (the Bali Action Plan). The information presented here draws upon work undertaken under the Conference of the Parties, the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol and the other three subsidiary bodies within the UNFCCC process. The note also contains lists of recent documents and decisions relating to each area of ongoing work.

\* This document was submitted after the due date owing to the timing of the first session of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention.

## CONTENTS

	<i>Paragraphs</i>	<i>Page</i>
I. INTRODUCTION .....	1–5	3
A. Mandate .....	1–2	3
B. Scope of the note .....	3–4	3
C. Possible action by the Ad Hoc Working Group on Long-term Cooperative Action under the Convention .....	5	3
II. ONGOING WORK UNDER THE CONVENTION AND ITS KYOTO PROTOCOL .....	6–95	3
A. Scientific, technical and socio-economic aspects of mitigation of climate change .....	6–7	3
B. Good practices in policies and measures .....	8–10	4
C. Reducing emissions from deforestation in developing countries .....	11–14	4
D. Buenos Aires programme of work on adaptation and response measures .....	15–18	5
E. Nairobi work programme on impacts, vulnerability and adaptation to climate change .....	19–25	5
F. Addressing the specific needs and special situations of least developed countries .....	26–29	6
G. Development and transfer of technologies .....	30–34	7
H. National communications and greenhouse gas inventories .....	35–51	8
I. Methodological issues .....	52–54	11
J. Education, training and public awareness .....	55–56	11
K. The financial mechanism .....	57–62	12
L. The Adaptation Fund under the Kyoto Protocol .....	63–64	13
M. Capacity-building for developing countries .....	65–68	13
N. Research and systematic observation .....	69–71	14
O. Cooperation with relevant international organizations .....	72	15
P. Emissions trading and project-based mechanisms .....	73–80	15
Q. Response measures under the Kyoto Protocol .....	81–82	16
R. Further commitments for Annex I Parties under the Kyoto Protocol .....	83–93	16
S. Second review of the Kyoto Protocol pursuant to its Article 9....	94–95	18

Annexes

I. Recent relevant documents on ongoing work under the Convention and its Kyoto Protocol .....	20
II. Ongoing work under the Convention and its Kyoto Protocol as it relates to the Bali Action Plan .....	22

## **I. Introduction**

### **A. Mandate**

1. At its first session, the Ad Hoc Working Group on Long-term Cooperative Action under the Convention (AWG-LCA) requested the secretariat, in accordance with paragraph 11 of decision 1/CP.13 (the Bali Action Plan), to compile and make available an information note on ongoing work under the Convention relating to issues identified in paragraph 1 of that decision.<sup>1</sup>

2. Paragraph 11 of decision 1/CP.13 states that the Conference of the Parties (COP) agrees that the process (meaning the AWG-LCA) shall be informed by, inter alia, experience in implementation of the Convention and its Kyoto Protocol, and processes thereunder.

### **B. Scope of the note**

3. This note presents information on all areas of ongoing work under the Convention and its Kyoto Protocol. This includes work under the COP, the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP), the Subsidiary Body for Scientific and Technological Advice (SBSTA), the Subsidiary Body for Implementation (SBI) and the Ad Hoc Working Group on Further Commitments for Annex I Parties under the Kyoto Protocol (AWG). References to key decisions and documents and, where applicable, information on how these areas of work may relate to elements of the Bali Action Plan are provided in the annexes.

4. The analysis in this note is preliminary. The limited time available for the preparation of this document did not allow for detailed analysis of how ongoing work relates, and could contribute, to the consideration by the AWG-LCA of specific issues identified in paragraph 1 of the Bali Action Plan.

### **C. Possible action by the Ad Hoc Working Group on Long-term Cooperative Action under the Convention**

5. The AWG-LCA will be invited to consider the information in this note during its deliberations on all elements of the Bali Action Plan and on further elaboration of activities, drawing on relevant work under the Convention and its Kyoto Protocol, while ensuring coherence and promoting efficiency in the work of Parties. The AWG-LCA could also consider if more elaborate analysis of the relevance of ongoing work to elements of the Bali Action Plan would facilitate its work.

## **II. Ongoing work under the Convention and its Kyoto Protocol**

### **A. Scientific, technical and socio-economic aspects of mitigation of climate change**

6. In accordance with Article 4, paragraph 1(b), of the Convention, all Parties are required to undertake efforts to mitigate climate change. Following consideration of the Third Assessment Report of the Intergovernmental Panel on Climate Change (IPCC), the COP, by its decision 10/CP.9, requested the SBSTA, at its twentieth session, to initiate work on scientific, technical and socio-economic aspects of mitigation. The aim of this work was to focus on exchanging information and sharing experiences and views among Parties on practical opportunities and solutions to facilitate the implementation of the Convention.

7. In response to mandates from the SBSTA and the COP, the secretariat has organized eight in-session workshops on this matter, covering a broad range of issues relating to mitigation. At its twenty-eighth session, the SBSTA will consider views from Parties on possible future work in this area.

---

<sup>1</sup> FCCC/AWGLCA/2008/3, paragraph 27.

## **B. Good practices in policies and measures**

8. Activities relating to good practices in policies and measures were undertaken by the SBSTA in implementing provisions of Article 4 and Article 7, paragraph 2 (b), of the Convention and Articles 2, 3 and 7 of the Kyoto Protocol. These activities were guided by decisions 8/CP.4 and 13/CP.7.

9. According to decision 13/CP.7, the work of Parties on good practices in policies and measures should aim at improving transparency, effectiveness and comparability of policies and measures (e.g. through specific criteria and quantitative parameters). It should also aim to identify further options for cooperation in order to enhance the individual and combined effectiveness of policies and measures. The decision envisages exchange of information on policies and measures undertaken by Parties included in Annex I to the Convention (Annex I Parties) in all relevant sectors, and on cross-cutting and methodological issues.

10. A number of events have been organized by the secretariat to facilitate the exchange of information and sharing of experience on good practices in policies and measures, including workshops, pre-sessional consultations, side events and round-table discussions. In addition, the secretariat prepared reports on policies and measures. Since the initiation of work on scientific, technical and socio-economic aspects of mitigation, the work on good practices in policies and measures has focused primarily on approaches to the sharing of experiences and the exchange of information on policies and measures of Annex I Parties. At SBSTA 28, Parties will consider the need for further events and activities in this area.

## **C. Reducing emissions from deforestation in developing countries**

11. The COP initiated work on reducing emissions from deforestation in developing countries at its eleventh session. In response to mandates from the COP and the SBSTA, the secretariat organized two major workshops on this issue, one each in 2006 and 2007. The COP, by its decision 2/CP.13, invited Parties to further strengthen and support ongoing efforts to reduce emissions from deforestation and forest degradation on a voluntary basis. It also encouraged all Parties, in a position to do so, to support capacity-building; to provide technical assistance; to facilitate the transfer of technology to improve, inter alia, data collection, estimation of emissions from deforestation and forest degradation, monitoring and reporting; and to address the institutional needs of developing countries to estimate and reduce emissions from deforestation and forest degradation.

12. Parties were also encouraged to explore a range of actions, identify options and undertake efforts, including demonstration activities, to address the drivers of deforestation relevant to their national circumstances, with a view to reducing emissions from deforestation and forest degradation and thus enhancing forest carbon stocks through sustainable management of forests.

13. The COP, by the same decision, requested the SBSTA to undertake work on methodological issues relating to a range of policy approaches and positive incentives that aim to reduce emissions from deforestation and forest degradation in developing countries. As part of this work, the secretariat will organize a workshop on outstanding methodological issues, to be held from 25 to 27 June 2008 in Tokyo, Japan.

14. The COP also invited relevant organizations and stakeholders to support the efforts of Parties and to share outcomes of these efforts with the SBSTA. The COP also requested the secretariat to develop a web platform where information submitted by Parties, relevant organizations and stakeholders will be made available. The first version of the web platform will be released in the second part of 2008.

#### **D. Buenos Aires programme of work on adaptation and response measures**

15. At each of its sessions since COP 7, the SBI has considered the progress made on implementation of decision 5/CP.7. The outcome of these negotiations was the adoption of decision 1/CP.10, which addressed adverse effects of climate change, the impact of the implementation of response measures and further multilateral work relating to activities under decision 5/CP.7. By that decision, the COP also requested the SBSTA to develop a structured five-year programme of work on the scientific, technical and socio-economic aspects of impacts of, and vulnerability and adaptation to, climate change (see chapter II E below).

16. In response to requests included in decision 1/CP.10, the secretariat organized three regional workshops, an expert meeting for small island developing States in order to facilitate information exchange and integrated assessments to assist in identifying specific adaptation needs and concerns, and two expert meetings on response measures. The outcomes of these events, as well as information from the compilation and synthesis reports of national communications of Annex I Parties and Parties not included in Annex I to the Convention (non-Annex I Parties) and other relevant reports, are still under consideration by the SBI.

17. From 29 to 30 May 2008, the Chair of the SBI will convene an informal meeting with representatives of interested Parties to consider further actions in the areas identified and recommended by participants to the events mentioned in paragraph 16 above. Examples of such areas of work on addressing adverse effects of climate change include financial resources; vulnerability and adaptation assessments; adaptation planning and implementation; risk management and risk reduction; regional collaboration and cross-cutting issues; capacity-building, education, training and public awareness; and data, systematic observation and monitoring. In order to address the impact of the implementation of response measures, the areas of financial risk management and modelling, and economic diversification will also be discussed.

18. At SBI 28, Parties will continue to consider the outcomes of the events mentioned in paragraph 16 above with a view to considering what further action may be required by the COP, at its fourteenth session, to further the implementation of decision 1/CP.10. In addition, the COP, at its fourteenth session, will assess the status of implementation of Article 4, paragraph 8, of the Convention, decision 5/CP.7 and decision 1/CP.10, and will consider further action thereon.

#### **E. Nairobi work programme on impacts, vulnerability and adaptation to climate change**

19. As mentioned in paragraph 15 above, the COP, at its tenth session, requested the SBSTA to develop a structured five-year programme of work on the scientific, technical and socio-economic aspects of impacts of, and vulnerability and adaptation to, climate change. This work programme would address methodologies, data and modelling; vulnerability assessments; adaptation planning, measures and actions; and integration into sustainable development in the context of the terms of reference of the SBSTA as referred to in Article 9 of the Convention.

20. At COP 11, Parties adopted the five-year programme of work of the SBSTA on impacts, vulnerability and adaptation to climate change and specified its objective, expected outcomes and scope of work (decision 2/CP.11). At COP 12, Parties agreed on activities for 2007 and 2008 and the programme was renamed the Nairobi work programme on impacts, vulnerability and adaptation to climate change.

21. The objective of the Nairobi work programme is to assist all Parties, in particular developing countries, including the least developed countries (LDCs) and small island developing States, to improve their understanding and assessment of impacts, vulnerability and adaptation, and to make informed decisions on practical adaptation actions and measures to respond to climate change on a sound,

scientific, technical and socio-economic basis, taking into account current and future climate change and variability.

22. The approach to the implementation of the Nairobi work programme focuses on catalysing actions on adaptation at all levels, and ensuring that the activities and deliverables target stakeholders at all levels and across all sectors. The nine areas of work covered by the Nairobi work programme are methods and tools; data and observations; climate modelling, scenarios and downscaling; climate-related risks and extreme events; socio-economic information; adaptation planning and practices; research; technologies for adaptation; and economic diversification.

23. During the first year of implementation of the Nairobi work programme, the secretariat organized two workshops and three expert meetings, and prepared 25 documents for the consideration of the SBSTA. During the workshops and expert meetings, representatives of Parties and other participants made recommendations on how to address identified gaps and needs, opportunities, barriers and constraints.

24. The successful implementation of the Nairobi work programme relies on the active involvement of stakeholders, including international organizations and institutions. To date, more than 100 organizations and institutions worldwide have offered to contribute to the objective of the Nairobi work programme. Some organizations, including the Food and Agriculture Organization of the United Nations (FAO), the IPCC, the Interagency Secretariat of the United Nations International Strategy for Disaster Reduction, the Organisation for Economic Co-operation and Development, the United Nations Development Programme (UNDP), the World Bank, the World Health Organization and the World Meteorological Organization, have provided information on relevant activities, and made proposals for their involvement in the implementation of the Nairobi work programme, through statements at SBSTA sessions, concept notes and action pledges.

25. A second phase of the Nairobi work programme will begin in the second half of 2008, following consideration at SBSTA 28 of further activities for the Nairobi work programme taking into account the outcomes from the IPCC Fourth Assessment Report and outputs from activities completed prior to SBSTA 28. The SBSTA will report on the Nairobi work programme to the COP at its sixteenth session. In the area of mandated activities under the Nairobi work programme, potential next steps, as discussed by representatives of Parties at an informal meeting on the outcomes of completed activities under the Nairobi work programme held from 7 to 9 April 2008 in Bangkok, Thailand, could include:

- (a) Continuing the nine areas of work and identifying further activities, as well as appropriate timing and modalities;
- (b) Promoting the implementation of recommendations resulting from the workshops and expert meetings, including by a wide range of national and international stakeholder institutions, organizations and communities;
- (c) Providing updated information and advice to subsidiary bodies.

#### **F. Addressing the specific needs and special situations of least developed countries**

26. Article 4, paragraph 9, of the Convention recognizes the specific needs and special situations of LDCs in their actions with regard to funding and transfer of technology. In acknowledgement of this, the COP, at its seventh session, adopted a package of decisions to support the efforts of LDCs to adapt to climate change. This included establishing the LDC work programme, which was to provide, inter alia, support for the development of national adaptation programmes of action (NAPAs). Financial support for NAPA preparation and implementation is provided through the Least Developed Countries Fund, which was established by decision 7/CP.7 and is managed by the Global Environment Facility (GEF).

27. NAPAs provide a process for LDCs to identify priority activities that respond to their urgent and immediate needs with regard to adaptation to climate change. This approach aims to lead to enhanced capacity of LDCs to adapt to current climate variability, which in turn would help them address the adverse effects of climate change.

28. Since its establishment in 2001, the Least Developed Countries Expert Group (LEG) has provided support, including guidance and technical support, to LDCs in preparing their NAPAs; cooperated with other expert groups under the Convention; cooperated with relevant international agencies and regional organizations; promoted increased awareness of climate change; and identified constraints to NAPA preparation and implementation. To date, 32 NAPAs have been submitted to the secretariat and at least 15 NAPA projects are under consideration by the GEF for implementation.

29. At COP 13, the mandate of the LEG was extended for three more years (until 2010); the LEG will provide strengthened support to LDCs in NAPA implementation, in collaboration with the GEF and its implementing agencies and other relevant organizations. The LEG will present its work programme for 2008–2010 at SBI 28.

### **G. Development and transfer of technologies**

30. Since the adoption of the Marrakesh Accords at COP 7 in 2001, work on the development and transfer of technologies under the UNFCCC process has focused on the implementation of the framework for meaningful and effective actions to enhance the implementation of Article 4, paragraph 5, of the Convention (the technology transfer framework), adopted by decision 4/CP.7.

31. Specific activities have included work relating to technologies for adaptation to climate change; innovative financing for the development and transfer of technologies, including innovative options to implement the results of technology needs assessments (TNAs); compilation and synthesis of completed TNAs; and establishment of a pilot technology information network between the UNFCCC technology information clearing house (TT:CLEAR) and national/regional technology centres.

32. By its decision 3/CP.13, the COP agreed that the five themes listed in the technology transfer framework<sup>2</sup> and the structure, definitions and purpose of this framework continued to provide a solid basis for enhancing the implementation of Article 4, paragraph 5, of the Convention. It agreed to reconstitute the Expert Group on Technology Transfer (EGTT) for a further five years, adopted a set of actions for consideration by the EGTT in formulating its future work programmes, and agreed that these activities would complement the actions contained in the technology transfer framework. The COP requested the EGTT:

- (a) To develop a set of performance indicators that could be used by the SBI to regularly monitor and evaluate the effectiveness of the implementation of the technology transfer framework;
- (b) To identify, analyse and assess existing and potential new financing resources and relevant vehicles in supporting development, deployment, diffusion and transfer of environmentally sound technologies in developing countries and to assess, based on the above identification and analysis, gaps and barriers to the use of and access to these financing resources in order to provide information to Parties to consider their adequacy and predictability;

---

<sup>2</sup> Technology needs and needs assessments, technology information, enabling environments, capacity-building, and mechanisms for technology transfer.

- (c) To elaborate a strategy paper, including sectoral approaches, on its long-term perspective beyond 2012 on facilitating the development, deployment, diffusion and transfer of technologies under the Convention.

33. At their twenty-eighth sessions, the SBSTA and the SBI will be invited to consider and endorse the work programme of the EGTT for 2008–2009. The SBSTA will also consider the terms of reference prepared by the EGTT for the activities mentioned in paragraph 32 (a) and (b) above.

34. By its decision 4/CP.13, the COP requested the GEF to elaborate a strategic programme to scale up the level of investment for technology transfer to help developing countries address their needs for environmentally sound technologies, and to report on its findings to the SBI, at its twenty-eighth session. The SBI is also expected to consider views from Parties on elements for the terms of reference for the review and assessment of the effectiveness of the implementation of Article 4, paragraph 5, and Article 4, paragraph 1(c), as mandated by decision 4/CP.13.

#### **H. National communications and greenhouse gas inventories**

35. In accordance with Articles 4 and 12 of the Convention, all Parties are required to develop, periodically update, publish and make available to the COP, national inventories of anthropogenic emissions by sources and removals by sinks of all greenhouse gases (GHGs) not controlled by the Montreal Protocol, using comparable methodologies.

36. In addition, all Parties are required to communicate, through their national communications, a general description of the steps taken or envisaged by them to implement the Convention according to its Article 4, paragraph 1, and Article 12. In accordance with the principle of “common but differentiated responsibilities” enshrined in the Convention, the required contents of national communications are different for Annex I and non-Annex I Parties. National communications contain information on national circumstances; trends in GHG emissions, policies and measures (Annex I Parties) or national and regional programmes containing measures to mitigate climate change (non-Annex I Parties); projections and estimates of the effects from policies and measures (Annex I Parties); vulnerability assessment and adaptation; financial resources; transfer of technology; and education, training and public awareness.

37. Annex I Parties that have ratified the Kyoto Protocol are required to include supplementary information in their national communications and their annual inventories of emissions and removals of GHGs to demonstrate compliance with their commitments under the Protocol.

38. Annex I Parties are required to submit information on their national inventories annually, and to submit national communications periodically, according to dates set by the COP. There are no fixed dates for the submission of national communications by non-Annex I Parties. However, each non-Annex I Party is required to submit its initial national communication within three years of the entry into force of the Convention for that Party or of the availability of financial resources<sup>3</sup> (except for the LDCs, which may do so at their discretion).

##### 1. National greenhouse gas inventories of Annex I Parties

39. The “Guidelines for the preparation of national communications by Parties included in Annex I to the Convention, Part I: UNFCCC reporting guidelines on annual inventories”, adopted by decision 18/CP.8, require Annex I Parties to submit, by 15 April each year, national GHG inventories covering emissions and removals of direct GHGs (carbon dioxide (CO<sub>2</sub>), methane, nitrous oxide,

---

<sup>3</sup> The GEF provides financial assistance to non-Annex I Parties, in accordance with the guidance of the COP, through its implementing agencies (UNDP, UNEP and the World Bank). Other agencies also provide financial and technical assistance to non-Annex I Parties in preparing their national communications.



hydroflourocarbons, perfluouocarbons and sulphur hexafluoride) from six sectors (energy, industrial processes, solvent and other product use, agriculture, land use, land-use change and forestry (LULUCF), and waste), and for all years from the base year or period to the most recent year. For reporting of emissions and removals from LULUCF in line with the IPCC *Good Practice Guidance for Land Use, Land-Use Change and Forestry*, the COP, by its decision 14/CP.11, adopted new reporting tables.

40. After the annual inventories are submitted, they are subject to review by expert review teams coordinated by the secretariat in accordance with the “UNFCCC guidelines for the technical review of greenhouse gas inventories for Parties included in Annex I to the Convention”, adopted by decision 19/CP.8. These guidelines ensure that reviews of reported GHG emissions data are conducted consistently in a technically sound manner across Parties. They also ensure that adequate consideration is given to recalculations and emission trends over time. The review of GHG inventories comprises three stages (initial check, synthesis and assessment, and individual review). The outcome from each stage of the review is reflected in review reports which are published on the UNFCCC website.

41. The COP, by its decision 7/CP.11, provided for the rescheduling of the review of the 2006 annual inventory submissions to facilitate the coordination with the initial reviews under Article 8 of the Kyoto Protocol. In addition, the CMP, by its decision 26/CMP.1, requested the secretariat to organize the initial reviews under the Kyoto Protocol in conjunction with the review of the 2006 inventory submissions. In 2007, the secretariat organized one centralized inventory review (for four Parties) and 36 in-country inventory reviews. Relevant review reports were prepared and the majority of them have already been published. Recently, the secretariat initiated work on the 2007 and 2008 inventory submissions with the aim of organizing the review activities in September and October 2008.

42. The secretariat prepares reports containing information from the GHG inventory submissions and review activities thereof, which are considered by the SBI, the COP and the CMP each year. In addition, the secretariat organizes meetings of lead reviewers which aim to promote a common approach by expert review teams to methodological and procedural issues for the inventory reviews, and to make recommendations to the secretariat on ways to further improve the effectiveness and efficiency of the inventory reviews. The most recent meeting was held in April 2008 in Dublin, Ireland.

## 2. National communications of Parties included in Annex I to the Convention

43. The “Guidelines for the preparation of national communications by Parties included in Annex I to the Convention, Part II: UNFCCC reporting guidelines on national communications”, adopted by decision 4/CP.5, aim to promote the provision of consistent, transparent, comparable, accurate and complete information and to monitor the progress that Annex I Parties are making towards meeting their commitments under the Convention.

44. After the national communications by Annex I Parties are submitted, in accordance with decisions 2/CP.1, 9/CP.2, 6/CP.3 and 33/CP.7, they are subject to an ‘in-depth’ review. These reviews are conducted by expert review teams, coordinated by the secretariat, and usually include an in-country visit. The resulting in-depth review reports aim to facilitate the work of the COP in assessing the implementation of commitments by Annex I Parties. The reports also allow easier comparison of information in the national communications of Parties, although no common indicators are employed. The secretariat prepares compilation and synthesis reports for each ‘set’ of the national communications by Annex I Parties, for consideration by the COP.

45. The COP, by its decision 7/CP.11, and the CMP, by its decision 26/CMP.1, streamlined the review processes of the fourth national communications (NC4s), because of the high workload of expert review teams during the initial reviews under Article 8 of the Kyoto Protocol. In 2006, two centralized reviews of 16 NC4s each were conducted and relevant reports were published. In 2007, the COP

concluded that the review of the national communications and consideration of the outcomes of this review have proved to be useful and should continue in accordance with decisions 2/CP.1, 6/CP.3 and 11/CP.4. Two in-country reviews and one centralized review (for 10 Parties) took place in the first half of 2008. One more in-country review is scheduled for October 2008, with the rest of the NC4s to be reviewed in 2009.

### 3. National communications of Parties not included in Annex I to the Convention

46. To assist non-Annex I Parties to prepare their initial national communications, guidelines were adopted by the COP under decision 10/CP.2. In response to a request for further assistance to Parties for the preparation of national communications, decision 8/CP.5 established a Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention (CGE) with the aim of improving the process of preparation of national communications by non-Annex I Parties. At COP 8, revised guidelines for the preparation of second and, where appropriate, third and initial national communications from non-Annex I Parties were adopted (decision 17/CP.8), and the mandate of the CGE was extended until 2007 (decision 3/CP.8). The mandate and terms of reference of the CGE were considered at COP 13, but Parties were unable to reach agreement and agreed to continue deliberations on this issue at SBI 28.

47. Under its work programme for the period 2003–2007, the CGE contributed to channelling and facilitating the sharing of expertise, thus enhancing the capacities of non-Annex I Parties for preparing national communications, through the organization of six regional hands-on training workshops and two global workshops. In total, these workshops were attended by about 400 non-Annex I Party experts in the areas of national GHG inventories, vulnerability and adaptation assessments, mitigation assessment and cross-cutting themes.

48. The CGE has also provided technical advice to experts from non-Annex I Parties on improving the preparation of national communications. Its examination of initial national communications submitted by non-Annex I Parties resulted in the identification of needs and gaps for improving the national communications preparation process.

49. The COP, by its decision 7/CP.5, requested the secretariat to prepare the first compilation and synthesis of initial communications from non-Annex I Parties. Since then, the secretariat has prepared six compilation and synthesis reports.<sup>4</sup> Taking into account national circumstances, as well as needs and constraints, as they relate to the issues covered, these reports discuss sustainable development and the integration of climate change concerns into medium- and long-term planning; inventories of anthropogenic emissions by sources and removal by sinks of GHGs; measures contributing to addressing climate change; research and systematic observation; climate change impacts, adaptation measures and response strategies; and education, training and public awareness.

50. The sixth compilation and synthesis, requested by decision 2/CP.9, was presented by the secretariat at COP 11 and covered information contained in 122 initial national communications. At SBI 24, some Parties, in accordance with the requirements of Article 10, paragraph 2, of the Convention, requested that the SBI consider the information communicated by non-Annex I Parties, including in their second and, where appropriate, subsequent national communications. The SBI, at its twenty-seventh session, decided that this issue should be included on the provisional agenda of its twenty-eighth session and that the Chair of the SBI will continue to consult with Parties to reach agreement on this proposal.

51. The COP, by its decision 8/CP.11, decided that non-Annex I Parties are required to make all efforts to submit their second and, where appropriate, third national communication within four years of the initial disbursement of financial resources for the actual preparation of the national communication;

---

<sup>4</sup> FCCC/SBI/2005/18 and Add.1–6 and Add.3/Corr.1.

and that, if necessary and based on their national circumstances, they may use an extension of up to one year for submission, after having informed the secretariat. To date, 134 out of 150 non-Annex I Parties have submitted their initial national communications; four (Argentina, Mexico, Republic of Korea and Uruguay) have submitted their second national communication; and one (Mexico) its third national communication.

### **I. Methodological issues**

52. The SBSTA is currently undertaking mandated methodological work in areas that may be related to work under the AWG-LCA. Two such areas of ongoing work are emissions from international aviation and maritime transport, and scientific and methodological aspects of the proposal by Brazil.

#### **1. Emissions from international aviation and maritime transport**

53. The issue of emissions from international aviation and maritime transport has been on the agenda of the SBSTA since its first session. Parties have identified three separate issues relating to this matter, namely adequate and consistent inventories, allocation of emissions, and control options. In recent years, the SBSTA has focused its work on methodological issues relating to this area of work. Since SBSTA 22, no agreement has been reached on substantive conclusions on this matter.<sup>5</sup>

#### **2. Scientific and methodological aspects of the proposal by Brazil**

54. At COP 3, Parties agreed to continue to work on scientific and methodological aspects of the proposal by Brazil, which aims to set differentiated emission reduction targets for Parties according to the impact of their historic emissions on temperature rise. In response to requests by the SBSTA, the secretariat has organized a number of events on this area of work, including in-session workshops, expert meetings and side events. The SBSTA is expected to complete its consideration of this matter at its twenty-eighth session.

### **J. Education, training and public awareness**

55. According to Article 6 of the Convention, all Parties are required to promote and facilitate, at the national level, the development and implementation of educational and public awareness programmes on climate change and its effects, public access to information on climate change and its effects, public participation in addressing climate change and its effects and the training of personnel, and to cooperate on these issues at the international level.

56. The COP, by its decision 11/CP.8, adopted the New Delhi work programme on Article 6 of the Convention, a five-year country-driven work programme engaging all stakeholders and encompassing activities that could be undertaken at the national level to facilitate the implementation of Article 6. The COP, by its decision 9/CP.13, recognized that the work programme had proven to be a good framework for action and adopted the amended New Delhi work programme for a further five years, placing more emphasis on international and regional cooperation. A review of the work programme will be undertaken in 2012, with an intermediate review of progress in 2010, to evaluate its effectiveness and identify any emerging gaps. To this end, the COP requested Parties to prepare reports (as part of their national communications, where possible) on their efforts to implement the work programme, and to share information on their experiences and best practices.

---

<sup>5</sup> Emissions from international aviation and maritime transport are currently also being addressed under the AWG as part of its discussions on the analysis of means to achieve mitigation objectives (see para. 91 (e)).

## K. The financial mechanism

57. The GEF, as an operating entity of the financial mechanism of the UNFCCC, currently manages the GEF Trust Fund, which provides support to developing countries for mitigation and adaptation projects and enabling activities, and the two special funds established under the Convention by decision 7/CP.7, namely, the Special Climate Change Fund (SCCF) and the Least Developed Countries Fund (LDCF), which are operational and support the needs of developing countries. The COP, by its decision 3/CP.11, decided to assess progress in the implementation of the LDCF and consider the adoption of further guidance at COP 14.

58. The memorandum of understanding between the COP and the GEF Council, annexed to decision 12/CP.2, provides, *inter alia*, that the GEF will make available to the COP annual reports and other official public documentation on the implementation of COP guidance to the GEF. To this end the GEF reports to the COP at each session on the steps that it has taken in response to specific guidance provided by the COP. The GEF will report to the COP at its fourteenth session on the implementation of projects under the climate change focal area in the GEF Trust Fund, and on the status of funding support for projects under the SCCF and the LDCF and for non-Annex I Party national communications. The COP will be invited to consider the report of the GEF and provide further guidance to the GEF, if necessary.

59. The COP, by its decision 3/CP.4, decided, in accordance with Article 11, paragraph 4, of the Convention, to review the financial mechanism every four years. By its decision 6/CP.13, the COP requested the SBI to recommend a draft decision for adoption by the COP at its fourteenth session on the assessment of the funding necessary to assist developing countries in fulfilling their commitments under the Convention over the fifth replenishment cycle of the GEF, taking into account paragraph 1 (a)–(d) of the annex to the memorandum of understanding between the COP and the GEF.<sup>6</sup>

60. The COP, also by its decision 6/CP.13, requested the SBI to continue consideration of the fourth review of the financial mechanism, on the basis of the additional guidelines contained in the annex to decision 6/CP.13 and in the annex to decision 3/CP.4, with a view to recommending, in accordance with decision 2/CP.12, a draft decision on the review for adoption by the COP no later than at its fifteenth session.

61. The additional guidelines to review the financial mechanism contained in the annex to decision 6/CP.13 provide elements that broaden the discussion on the financial mechanism of the Convention by:

- (a) Examining relevant sources and means of financing that would assist developing countries to contribute to the achievement of the objective of the Convention;
- (b) Examining the role of the financial mechanism in scaling up the level of resources;
- (c) Assessing enabling environments for catalysing investment in, and the transfer of, sustainable technologies that mitigate GHG emissions, and for enhancing resilience to climate change.

---

<sup>6</sup> The annex to the memorandum of understanding is contained in annex I to document FCCC/SBI/1996/14.

62. In addition, the COP, by decision 6/CP.13, invited Parties to submit to the secretariat their views on the following and requested the secretariat to prepare a synthesis report on those views:

- (a) The technical paper on the review of the experience of international funds, multilateral financial institutions and other sources of funding relevant to the current and future investment and financial needs of developing countries;<sup>7</sup>
- (b) The assessment, prepared by the secretariat in collaboration with the GEF secretariat, of the funding necessary to assist developing countries, in accordance with the guidance provided by the COP, in meeting their commitments under the Convention over the next GEF replenishment cycle;<sup>8</sup>
- (c) The report on the analysis of existing and potential investment and financial flows relevant to the development of an effective and appropriate international response to climate change;<sup>9</sup>
- (d) Options for scaling up the international financial response to climate change, based on national experiences and on available relevant documents.

#### **L. The Adaptation Fund under the Kyoto Protocol**

63. The CMP, by its decision 1/CMP.3, decided that the operating entity of the Adaptation Fund shall be the Adaptation Fund Board and invited the GEF to provide secretariat services and the World Bank to serve as the trustee of the Adaptation Fund on an interim basis. These interim arrangements will be reviewed after three years. The first meeting of the Board took place in Bonn, Germany, from 26 to 28 March 2008.

64. The CMP, at its fourth session, is expected to either adopt or take note of the recommendations and decisions made by the Adaptation Fund Board relating to strategic priorities, policies and guidelines, specific operational policies and guidelines, criteria based on principles and modalities, programming guidance and administrative and financial management guidelines, additional rules of procedure, draft legal and administrative arrangements for secretariat services and the trustee, and monetization of certified emission reductions.

#### **M. Capacity-building for developing countries**

65. At COP 7, Parties adopted decision 2/CP.7 on capacity-building for developing countries and other decisions that included capacity-building components. The annex to decision 2/CP.7 contains a framework for capacity-building in developing countries, which was designed to serve as a guide for the climate change capacity-building activities of the GEF and other funding bodies. Decision 2/CP.7 requested the secretariat to collect, process, compile and disseminate the information needed by the COP or its subsidiary bodies to review the progress made in the implementation of the capacity-building framework, drawing on information contained in national communications of developing country Parties and of Parties included in Annex II to the Convention, as well as reports from the GEF and other agencies.

---

<sup>7</sup> FCCC/TP/2007/4.

<sup>8</sup> FCCC/SBI/2007/21.

<sup>9</sup> Dialogue working paper 8. 2007. Dialogue on long-term cooperative action to address climate change by enhancing implementation of the Convention, fourth workshop. Available at: <[http://unfccc.int/files/cooperation\\_and\\_support/financial\\_mechanism/financial\\_mechanism\\_gef/application/pdf/dialogue\\_working\\_paper\\_8.pdf](http://unfccc.int/files/cooperation_and_support/financial_mechanism/financial_mechanism_gef/application/pdf/dialogue_working_paper_8.pdf)>.

66. A time frame and process for review of the capacity-building framework was established through decision 9/CP.9. The COP completed a first comprehensive review of the capacity-building framework for developing countries at its tenth session (decision 2/CP.10); it reaffirmed that the framework contained in decision 2/CP.7 was still relevant, and identified key factors that should be taken into account to assist in further implementation of that decision. The COP also decided that a second review would be initiated at SBI 28 with a view to completing it at COP 15. The SBI will develop terms of reference for this review at its twenty-eighth session.

67. At its thirteenth session, the COP requested the secretariat to convene a meeting, before COP 14, to discuss experiences in using performance indicators for the monitoring and evaluation of capacity-building at the national level, consistent with the capacity-building framework.<sup>10</sup> To further advance negotiations on monitoring and evaluation of capacity-building, the COP requested the secretariat to prepare a technical paper containing approaches to monitoring and evaluation at different levels, for consideration by the SBI at its twenty-ninth session. Similar guidance for capacity-building under the Kyoto Protocol was given by the CMP at its third session.<sup>11</sup>

68. At COP 7, Parties also adopted decision 3/CP.7 on capacity-building for countries with economies in transition (EIT countries). The annex to this decision contains the corresponding capacity-building framework. A second comprehensive review of this framework took place in 2007 at SBI 27. The SBI agreed that the scope of needs as listed in the framework for capacity-building in EIT countries was still relevant, and agreed to review the status of its implementation at SBI 36.

#### **N. Research and systematic observation**

69. Article 5 of the Convention requires Parties to support international and intergovernmental efforts aimed at conducting and strengthening research, data collection and systematic observation, including strengthening capacities of developing countries. The importance of scientific research in meeting the needs of the Convention is recognized in decision 9/CP.11, which also recognizes the importance of the pre-eminent and independent role of the IPCC in conducting regular assessments of published scientific information on climate change and in communicating these assessments to the SBSTA.

70. Following the request in decision 9/CP.11 for the SBSTA to regularly consider research needs and systematic observation, a dialogue between Parties and relevant regional and international climate change research programmes and organizations has been developed under the auspices of the SBSTA. This dialogue serves as a platform for Parties to express research needs and priorities relevant to the Convention and for the research community to inform Parties about ongoing and planned research activities, including how research needs identified by Parties are being addressed. The IPCC continues to provide scientific information on climate change to the Convention through its reports.

71. Matters relating to systematic observation are being regularly considered by the COP and the SBSTA with the aim of strengthening global observing systems for climate. The Global Climate Observing System (GCOS) and other partners have undertaken a number of initiatives to support the work of the Convention, such as addressing deficiencies in climate observing networks and strengthening capacities of developing countries. At SBSTA 30, the GCOS secretariat is expected to provide a comprehensive report on progress with its GCOS implementation plan, based on information from Parties to be provided by September 2008. Progress by the Global Terrestrial Observing System on terrestrial observations relevant for climate, in support of the Convention, as well as a progress report on activities by the Committee on Earth Observation Satellites, will be presented at SBSTA 29.

---

<sup>10</sup> FCCC/CP/2007/6, chapter VI D.

<sup>11</sup> FCCC/KP/CMP/2007/9, chapter XII.

## **O. Cooperation with relevant international organizations**

72. Climate change has many links with issues addressed by other international organizations, scientific organizations, United Nations bodies and other conventions, many of which also contribute to sustainable development objectives. These bodies and conventions (e.g. the IPCC, UNEP, UNDP, GEF, the World Bank, FAO, the Convention on Biological Diversity, the United Nations Convention to Combat Desertification, the Convention on Wetlands of International Importance especially as Waterfowl Habitat (Ramsar Convention), the United Nations Forum on Forests and the Montreal Protocol) regularly participate in the UNFCCC process and inform Parties on their activities to address climate change and to contribute to the work and objective of the Convention.<sup>12</sup>

## **P. Emissions trading and project-based mechanisms<sup>13</sup>**

73. The implementation of emissions trading under Article 17 of the Kyoto Protocol, and the two project-based mechanisms – joint implementation (JI) and the clean development mechanism (CDM) – under Articles 6 and 12, respectively, of the Kyoto Protocol, began after the adoption of the Marrakesh Accords at COP 7. The CDM is currently the most advanced of these mechanisms, in part owing to the ‘prompt start’ arrangement agreed for the CDM as part of the Marrakesh Accords.

### **1. Emissions trading**

74. Under the guidance adopted by the CMP, primarily through decision 11/CMP.1 on emissions trading and decision 13/CMP.1 on the modalities for the accounting of assigned amounts under the Kyoto Protocol, work continues on the implementation of national registries by Annex I Parties and the implementation of the CDM registry and international transaction log (ITL) by the secretariat. The initial implementation of the ITL, CDM registry and several national registries has been completed and these have started regular operations.

75. The secretariat, in its role as the administrator of the ITL, reports annually to the CMP on its organizational arrangements, activities and resource requirements.

### **2. Joint implementation**

76. The Joint Implementation Supervisory Committee (JISC) was convened for the first time in February 2006, after the entry into force of the Kyoto Protocol, and has since overseen the development of the Track 2 verification procedure established by decision 9/CMP.1. With the first determination of a JI project meeting the requirements of Article 6 only becoming final under this procedure in March 2007, experience with JI is still in its early stages. This experience is, however, complemented by implementation work undertaken by Annex I Parties, in particular through the establishment and operation of designated focal points for approving projects.

77. The JISC reports on its activities annually to the CMP. In exercising its authority over JI, the CMP has the opportunity to review these annual reports, provide guidance and take decisions.

### **3. Clean development mechanism**

78. The Executive Board of the CDM was convened for the first time in November 2001 and has since overseen the development of the CDM under the authority and guidance of the COP and, since the

---

<sup>12</sup> In certain areas of work (e.g. the Nairobi work programme and reducing emissions from deforestation in developing countries), these organizations, as well as many others not listed here, provide specific input in response to requests by Parties.

<sup>13</sup> The Kyoto mechanisms are also being addressed in the context of work under the AWG. In addition, some aspects of these mechanisms are also being addressed in the context of the second review of the Kyoto Protocol.

entry into force of the Kyoto Protocol, the CMP. The first CDM project activity was registered in March 2005. Since then, the number of registered project activities has risen to over 1,000, with about 2,000 further project activities in the project pipeline at various stages of development or validation. The CDM is becoming a major source of assistance for non-Annex I Parties in their efforts to achieve sustainable development, and it continues to be a rich source of experience and learning for the implementation of project-based mechanisms. Similar to JI, this experience is complemented by implementation work undertaken by Annex I Parties and non-Annex I Parties, in particular through the establishment and operation of their designated national authorities.

79. Since COP 7, Parties have agreed on rules for the inclusion of afforestation and reforestation project activities (for the first commitment period), small-scale project activities, and programmes of activities in the CDM. In the context of the CDM, and at the request of the CMP, the SBSTA continues to consider the issues of new hydrochlorofluorocarbon-22 facilities involving the destruction of hydrofluorocarbon-23, and of CO<sub>2</sub> capture and storage in geological formations.

80. The Executive Board reports on its activities annually to the CMP. In exercising its authority over the CDM, the CMP has the opportunity to review these annual reports, provide guidance and take decisions.

#### **Q. Response measures under the Kyoto Protocol**

81. Article 2, paragraph 3, of the Kyoto Protocol requires Annex I Parties to strive to implement policies and measures set out under Article 2 in such a way as to minimize adverse effects, including the adverse effects of climate change, effects on international trade, and social, environmental and economic impacts on other Parties, especially developing country Parties and in particular those identified in Article 4, paragraphs 8 and 9, of the Convention, taking into account Article 3 of the Convention. No consensus has yet been reached on the issues relating to the implementation of this article.

82. Article 3, paragraph 14, of the Protocol requires Annex I Parties to strive to achieve their emission targets in such a way as to minimize adverse social, environmental and economic impacts on developing countries, particularly those identified in Article 4, paragraphs 8 and 9, of the Convention. In line with relevant COP decisions, this article calls on the CMP to consider what actions are necessary to minimize the adverse effects of climate change and/or the impacts of response measures, including the establishment of funding, insurance and transfer of technology. By adopting decision 31/CMP.1 on the operationalization of Article 3, paragraph 14, the CMP requested the development of reporting methodologies, through a workshop, and guidelines to help determine the implementation of the provisions of Article 3, paragraph 14. The workshop took place in September 2006 but Parties have not yet considered its report.

#### **R. Further commitments for Annex I Parties under the Kyoto Protocol**

83. By its decision 1/CMP.1, the CMP initiated a process to consider further commitments for Annex I Parties for the period beyond 2012 in accordance with Article 3, paragraph 9, of the Kyoto Protocol, and established the AWG to that end. At its second session, the AWG agreed on a work programme that identified three elements to be addressed by the group:

- (a) Analysis of mitigation potentials and ranges of emission reduction objectives of Annex I Parties;
- (b) Analysis of possible means to achieve mitigation objectives;
- (c) Consideration of further commitments by Annex I Parties.

84. Parties have agreed that their work should be guided by a shared vision of the challenge set by the ultimate objective of the Convention, based on the principles and other relevant provisions of the



Convention and its Kyoto Protocol. Work by the AWG on the identification of possible ranges of emission reductions by Annex I Parties includes the analysis of the contribution of such reductions to the ultimate objective of the Convention, ensuring due attention to the issues mentioned in the second sentence of Article 2 of the Convention.

1. Analysis of mitigation potentials and identification of emission reduction objectives of Annex I Parties

85. During 2007, the AWG adopted conclusions on the analysis of the mitigation potential, effectiveness, efficiency, costs and benefits of current policies, measures and technologies at the disposal of Annex I Parties, and of possible ranges of emission reductions by Annex I Parties. It discussed these issues and considered a technical paper<sup>14</sup> prepared by the secretariat.

86. At the first part of its fourth session, the AWG acknowledged that understanding mitigation potential is a complex process and noted that further analysis would help the AWG in conducting its work programme. It referred to information contained in the contribution of Working Group III to the Fourth Assessment Report of the IPCC, in particular to emission reductions required by Annex I Parties to achieve different stabilization scenarios.

87. The AWG will revert to its conclusions on the above-referred matters at the second part of its sixth session. To this end, the AWG invited Annex I Parties to submit to the secretariat, by 5 September 2008, additional and updated information and data. It also requested the secretariat to update, by October 2008, the technical paper referred to in paragraph 85 above. A workshop on these matters will be organized at that session.

88. Also in the context of work relating to the analysis of mitigation potentials and ranges of emission reduction objectives of Annex I Parties, the AWG invited Annex I Parties to provide information on the potential environmental, economic and social consequences, including spill-over effects on all Parties, in particular developing country Parties, of available tools, policies, measures and methodologies available to Annex I Parties. The AWG has agreed to adopt conclusions on these issues at the second part of its sixth session.

2. Analysis of possible means to achieve mitigation objectives

89. One of the main tasks for the AWG in 2008 is to advance work and adopt conclusions on the analysis of possible means to achieve mitigation objectives. In particular, the AWG will look at ways to enhance the effectiveness of the means that may be available to Annex I Parties to reach their emission reduction targets and the contribution of these means to sustainable development. The work programme of the AWG identifies four such means: emissions trading and the project-based mechanisms; LULUCF; GHGs, sectors and source categories to be covered; and possible approaches targeting sectoral emissions.

90. At the first part of its fifth session, the AWG agreed that emissions trading, the project-based mechanisms under the Kyoto Protocol, and measures to limit or reduce GHG emissions and to enhance removals resulting from anthropogenic LULUCF activities, should continue to be available to Annex I Parties as means to reach their emission reduction targets.

91. The AWG will hold a round-table discussion on the means to reach emission reduction targets at its resumed fifth session. The AWG should reach conclusions relating to these means at its resumed fifth session; to that end, the AWG agreed to consider, in particular:

- (a) Possible improvements to emissions trading and the project-based mechanisms under the Kyoto Protocol, relating to their scope, effectiveness, efficiency, accessibility, contribution to sustainable development, capacity to generate co-benefits and the transfer of technology;

---

<sup>14</sup> FCCC/TP/2007/1.

- (b) How to address, where applicable, the definitions, modalities, rules and guidelines for the treatment of LULUCF in a second commitment period;
- (c) How approaches targeting sectoral emissions could be used by Annex I Parties as a means to reach their emission reduction targets;
- (d) Possible broadening of the coverage of GHGs, sectors and source categories and its implications, based on sound science;
- (e) How approaches to limit or reduce emissions of GHGs not controlled by the Montreal Protocol from aviation and marine bunker fuels could be used by Annex I Parties as a means to reach their emission reduction targets, taking into account Article 2, paragraph 2, of the Kyoto Protocol.

92. In addition to the elements listed in paragraph 91 above, the AWG will consider relevant methodological issues, including methodologies to be applied for estimating anthropogenic emissions and the global warming potentials of GHGs. A workshop on these matters will be held at the resumed fifth session of the AWG. The AWG is expected to adopt relevant conclusions at the first part of its sixth session.

### 3. Consideration of further commitments by Annex I Parties

93. In 2009, the AWG will consider the scale of emission reductions to be achieved by Annex I Parties in aggregate and the allocation of corresponding mitigation effort. This work should enable the group to agree on further commitments for Annex I Parties, including new emission limitation or reduction commitments, and on the duration of the commitment period(s). Although no specific activities have been agreed so far, the AWG invited Parties to submit to the secretariat, by 15 February 2009, views on the scale of emission reductions to be achieved by Annex I Parties in aggregate and on options for the allocation of the corresponding mitigation efforts and their contribution to the global effort to reach the ultimate objective of the Convention.

### **S. Second review of the Kyoto Protocol pursuant to its Article 9**

94. The CMP, by its decision 7/CMP.2, decided that the second review of the Kyoto Protocol pursuant to its Article 9 shall take place at its fourth session. In order to prepare this review, the CMP, at its third session, identified five issues to be addressed, namely:

- (a) Extending the share of proceeds to assist in meeting the costs of adaptation to JI and emissions trading;
- (b) Relevant procedural elements for inscribing commitments for Annex I Parties in Annex B to the Kyoto Protocol;
- (c) Privileges and immunities for individuals serving on constituted bodies established under the Kyoto Protocol;
- (d) The scope, effectiveness and functioning of the flexibility mechanisms, including ways and means to enhance an equitable regional distribution of CDM projects;
- (e) Minimizing adverse effects, including the adverse effects of climate change, effects on international trade, and social, environmental and economic impacts on other Parties, especially developing country Parties and in particular those identified in Article 4, paragraphs 8 and 9, of the Convention, taking into account Article 3 of the Convention.

95. During the preparation of the review, Parties identified emissions from fuel used for international aviation and maritime transport, and reporting and review processes, as two further issues to be considered. In response to a request in decision 4/CMP.3, the secretariat organized a workshop from

28 to 29 April 2008 in Bonn, Germany, to consider and discuss the views from Parties on all issues identified. The SBI will consider these issues at its twenty-eighth session and will report to the CMP at its fourth session.

Annex I

### Recent relevant documents on ongoing work under the Convention and its Kyoto Protocol

<b>Ongoing work under the Convention and its Kyoto Protocol<sup>a</sup></b>	<b>Relevant documents</b>
Scientific, technical and socio-economic aspects of mitigation of climate change	FCCC/SBSTA/2007/INF.3 FCCC/SBSTA/2008/MISC.6
Good practices in policies and measures	FCCC/SBSTA/2008/MISC.7
Reducing emissions from deforestation in developing countries	FCCC/SBSTA/2008/MISC.4
Buenos Aires programme of work on adaptation and response measures	FCCC/SBI/2007/14 FCCC/SBI/2008/MISC.4
Nairobi work programme on impacts, vulnerability and adaptation to climate change	FCCC/SBSTA/2006/11 FCCC/SBSTA/2008/MISC.3 FCCC/SBSTA/2008/5
Addressing the specific needs and special situations of least developed countries	FCCC/SBI/2008/6
Development and transfer of technologies	FCCC/SBSTA/2008/INF.2 FCCC/SB/2008/INF.1 FCCC/SBI/2008/MISC.1 and Add.1 FCCC/SBI/2008/7
National greenhouse gas inventories of Parties included in Annex I to the Convention (Annex I Parties)	FCCC/SBSTA/2007/INF.4 FCCC/SBI/2007/INF.10 FCCC/SBI/2008/INF.2 FCCC/SBSTA/2006/9 FCCC/CP/2002/8
National communications of Annex I Parties	FCCC/SBI/2007/INF.6 and Add.1–2 FCCC/SBI/2007/INF.7 FCCC/SBI/2006/INF.2
National communications of Parties not included in Annex I to the Convention	FCCC/SBI/2007/10/Add.1 FCCC/SBI/2007/20 FCCC/SBI/2007/27 FCCC/SBI/2007/28 FCCC/SBI/2007/MISC.7
Methodological issues	FCCC/SBSTA/2008/MISC.1 FCCC/SBSTA/2008/MISC.5
Education, training and public awareness	FCCC/SBI/2007/22 FCCC/SBI/2007/29
The financial mechanism	FCCC/TP/2007/4 FCCC/SBI/2007/21 FCCC/SBI/2008/INF.4 FCCC/SBI/2008/MISC.3
The Adaptation Fund under the Kyoto Protocol	FCCC/SBI/2006/10 FCCC/SBI/2007/MISC.2

(continued)

<b>Ongoing work under the Convention and its Kyoto Protocol<sup>a</sup></b>	<b>Relevant documents</b>
Capacity-building	FCCC/CP/2007/6 (paras. 80–91) FCCC/KP/CMP/2007/9 (paras. 87–96) FCCC/SBI/2007/5 FCCC/SBI/2007/25 FCCC/SBI/2007/33 FCCC/SBI/2008/2
Emissions trading and project-based mechanisms	FCCC/KP/CMP/2007/3 (Part I) FCCC/KP/CMP/2007/3 (Part II) FCCC/KP/CMP/2007/4 (Part I) FCCC/KP/CMP/2007/4 (Part II) FCCC/SBSTA/2008/INF.1
Response measures under the Kyoto Protocol	FCCC/SBI/2006/27
Further commitments for Annex I Parties under the Kyoto Protocol	FCCC/KP/AWG/2006/4 FCCC/KP/AWG/2007/2 FCCC/KP/AWG/2007/4 FCCC/KP/AWG/2007/5 FCCC/KP/AWG/2008/2 FCCC/TP/2007/1 FCCC/KP/AWG/2008/MISC.1 and Add 1–3
Second review of the Kyoto Protocol pursuant to its Article 9	FCCC/SBI/2008/MISC.2 and Add.1–2 FCCC/SBI/2008/INF.1 FCCC/SBI/2008/INF.5

<sup>a</sup> There are no recent relevant documents for research and systematic observation or for cooperation with relevant international organizations.

Annex II

### Ongoing work under the Convention and its Kyoto Protocol as it relates to the Bali Action Plan

The table below lists all areas of ongoing work that are addressed in this document and provides an indication – using a tick mark (✓) – of whether the outcome of the work under these areas may be related to specific elements under the Bali Action Plan (decision 1/CP.13). The table does not cluster or group areas of work under each element of the Bali Action Plan.

<b>Ongoing work under the Convention and its Kyoto Protocol</b>	<b>Relevant decisions</b>	<b>Elements of the Bali Action Plan<sup>a</sup></b>			
		Enhanced national/international action on mitigation of climate change	Enhanced action on adaptation	Enhanced action on technology development and transfer	Enhanced action on the provision of financial resources and investment
Scientific, technical and socio-economic aspects of mitigation of climate change	10/CP.9	✓			
Good practices in policies and measures	8/CP.4 13/CP.7	✓			
Reducing emissions from deforestation in developing countries	2/CP.13	✓			
Buenos Aires programme of work on adaptation and response measures	5/CP.7 1/CP.10	✓	✓		
Nairobi work programme on impacts, vulnerability and adaptation to climate change	1/CP.10 2/CP.11		✓		
Addressing the specific needs and special situations of least developed countries	5/CP.7 7/CP.7 27/CP.7 28/CP.7 29/CP.7		✓		
Development and transfer of technologies	4/CP.7 3/CP.13 4/CP.13	✓	✓	✓	✓

(continued)

Ongoing work under the Convention and its Kyoto Protocol	Relevant decisions	Elements of the Bali Action Plan <sup>a</sup>			
		Enhanced national/international action on mitigation of climate change	Enhanced action on adaptation	Enhanced action on technology development and transfer	Enhanced action on the provision of financial resources and investment
National greenhouse gas inventories of Parties included in Annex I to the Convention (Annex I Parties)	18/CP.8 19/CP.8 14/CP.11 13/CMP.1 15/CMP.1 17/CMP.1 20/CMP.1 22/CMP.1 6/CMP.3	✓			
National communications of Annex I Parties	11/CP.4 33/CP.7 15/CMP.1 22/CMP.1	✓	✓	✓	✓
National communications of Parties that are not included in Annex I to the Convention	3/CP.8 17/CP.8 8/CP.11	✓	✓	✓	✓
Methodological issues	-	✓			
Education, training and public awareness	11/CP.8 9/CP.13	✓	✓	✓	✓
The financial mechanism	6/CP.13 1/CMP.3	✓	✓	✓	✓
The Adaptation Fund under the Kyoto Protocol	3/CMP.1 28/CMP.1 5/CMP.2 1/CMP.3		✓		✓

(continued)

Ongoing work under the Convention and its Kyoto Protocol	Relevant decisions	Elements of the Bali Action Plan <sup>a</sup>			
		Enhanced national/international action on mitigation of climate change	Enhanced action on adaptation	Enhanced action on technology development and transfer	Enhanced action on the provision of financial resources and investment
Capacity-building	2/CP.7 3/CP.7 2/CP.10 3/CP.10 4/CP.12 29/CMP.1 6/CMP.2	✓	✓	✓	✓
Research and systematic observation	11/CP.9 9/CP.11 11/CP.13	✓	✓	✓	
Cooperation with relevant international organizations	-	✓	✓	✓	✓
Emissions trading and project-based mechanisms	2/CMP.3 3/CMP.3	✓	✓	✓	✓
Response measures under the Kyoto Protocol	31/CMP.1	✓			
Further commitments for Annex I Parties under the Kyoto Protocol	1/CMP.1	✓	✓	✓	✓
Second review of the Kyoto Protocol pursuant to its Article 9	7/CMP.2 4/CMP.3	✓	✓		

<sup>a</sup> The element on a shared vision for long-term cooperative action is not included in this table because this element is more overarching in nature than are the other four.

-----