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UNITED NATIONS FRAMEWORK CONVENTION ON CLIMATE CHANGE

AD HOC WORKING GROUP ON LONG-TERM COOPERATIVE ACTION UNDER THE CONVENTION Seventh session Bangkok, 28 September to 9 October 2009, and Barcelona 2–6 November 2009

Agenda item 3 (a–e)

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

Ideas and proposals on the elements contained in paragraph 1 of the Bali Action Plan

Submissions from Parties

Addendum

1. In addition to the six submissions from five Parties contained in document FCCC/AWGLCA/2009/MISC.6, eight further submissions have been received.

2. As requested by the Ad Hoc Working Group on Long-term Cooperative Action under the Convention, these submissions have been posted on the UNFCCC website.¹ In accordance with the procedure for miscellaneous documents, these submissions are attached and reproduced^{*} in the language in which they were received and without formal editing. The secretariat will continue to post on the relevant web page the submissions received after the issuance of the present document.

FCCC/AWGLCA/2009/MISC.6/Add.1

¹ <http://unfccc.int/meetings/ad_hoc_working_groups/lca/items/4578.php>.

^{*} These submissions have been electronically imported in order to make them available on electronic systems, including the World Wide Web. The secretariat has made every effort to ensure the correct reproduction of the texts as submitted.

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PAPER NO. 1: AUSTRALIA, BELARUS, CANADA, CROATIA, THE EUROPEAN COMMUNITY AND ITS MEMBER STATES, ICELAND, JAPAN, KAZAKHSTAN, LIECHTENSTEIN, MONACO, NEW ZEALAND, NORWAY, RUSSIAN FEDERATION, SWITZERLAND AND UKRAINE

Information relating to possible quantified emissions limitation and reduction objectives as submitted by Parties

Submission to the AWG-LCA and AWG-KP

This paper contains updated information provided by Annex I Parties relating to their possible quantified emission limitation and reduction objectives (QELROs). It contains values or ranges of these pledges, the base year to which they refer, and information on their status.

This submission serves information purposes only and does not entail any collective political endorsement or acceptance by the submitting Parties of the information provided in the table below.

Party	Information relating to possible QELROs		Inclusion of	Status
-	Range or single value by 2020, percentage	Reference year	LULUCF	
Australia	-5% up to -15% or -25%	2000	Y	Officially announced
Belarus	-5% to $-10\%^1$	1990	TBD	Officially announced
Canada	-20%	2006	TBD	Officially announced
Croatia ²	+6%	1990	Y	Under consideration
European Union	-20 to -30%	1990	N for -20% Y for -30%	Adopted by legislation
Iceland	-15%	1990	Y	Officially announced
Japan	-25%	1990	TBD	Officially announced
Liechtenstein	-20 to -30%	1990	N	Officially announced
Monaco	-20%	1990		Officially announced
New Zealand	-10 to -20%	1990	Y	Officially announced
Norway	-30%	1990	Y ³	Officially announced
Russian Federation	-10 to -15%	1990	TBD	Officially announced
Switzerland	-20 to -30%	1990	Y	Officially announced
Ukraine	-20%	1990	TBD	Under consideration

*Abbreviations: N = no; TBD = to be determined; Y = yes

¹ Conditional to access to flexible mechanisms.

² An increase of emissions by 6 per cent by 2020 relative to 1990 is equivalent to a decrease by 5 per cent of emissions compared to Croatia's base year calculated according to decision 7/CP.12.

³ LULUCF is included in light of the present rules. If the rules are changed Norway's national goal will be changed accordingly.

Some Annex I Parties clarified the following matters in the context of possible QELROs and pledges:

Australia

On 4 May, Prime Minister Kevin Rudd committed the Australian Government to reduce Australia's emissions by 25 per cent on 2000 levels by 2020 if the world agrees to an ambitious global deal capable of stabilising levels of greenhouse gases in the atmosphere at 450 ppm CO_2 -eq or lower. The Australian Government retains its previous policy commitment to unconditionally reduce Australia's emissions by 5 per cent on 2000 levels by 2020, and to reduce emissions by up to 15 per cent by 2020 if there is a global agreement which falls short of securing atmospheric stabilisation at 450 ppm CO_2 -eq, and under which major developing economies commit to substantially restrain emissions and advanced economies take on commitments comparable to Australia's.

Belarus

Belarus informs that if the amendment adopted via decision 10/CMP.2 comes into effect before the end of the first commitment period, for the period after 2012 the Republic of Belarus will consider an option of assuming the commitment to meet the target of 90-95 per cent of 1990 emission level; and if the aforementioned amendment does not take effect, the Republic of Belarus will refrain from voluntary commitments for the post-Kyoto period that would establish the target lower than 100 per cent of 1990 emission level (FCCC/KP/AWG/2008/MISC.4, page11).

Canada

In the medium-term, the Government of Canada is committed to reducing Canada's total GHG emissions by 20 per cent by 2020 relative to 2006 levels. This equals a reduction in annual emissions of approximately 145 Mt by 2020. This commitment has been developed as a domestic goal on Canada's long-term emission reduction pathway. It does not assume or provide for significant use of the Kyoto mechanisms, in particular emission trading under Article 17. In the long-term, the government is committed to reducing Canada's GHG emissions by 60-70 per cent below 2006 levels by 2050 (FCCC/KP/AWG/2007/MISC.4/Add.1, page 5 and further elaboration by Canada).

Croatia

The Croatian medium-term target for the period 2013-2020 is 33.2 Mt CO_2 -eq that means an increase of 6 per cent according to its 1990 level, 31.3 Mt CO_2 -eq, or a decrease of 5 per cent according to the base year established by Decision 7/CP.12. With this target Croatia will stabilize its GHG emissions on the level within the Kyoto Protocol. The target for period 2013-2020 has been established on the basis of elements of the EU "climate and energy package" that Croatia will implement in respective period.

The European Community and its Member States

The European Union agreed in 2008 its "Energy and climate package". The package includes a unilateral commitment to reduce EU-27 GHG emissions by at least 20 per cent by 2020 compared to 1990 levels and by 30 per cent provided that other developed countries commit themselves to comparable emission reductions and that economically more advanced developing countries contribute adequately according to their responsibilities and respective capabilities consistent with staying below 2°C (FCCCC/KP/AWG/2009/MISC.1, page 20).

Iceland

The Government of Iceland decided on May 29 2009 to reduce net GHG emissions by 15 per cent by 2020, compared to 1990 levels. In real terms this ambition entails 25 per cent reduction compared to the target ascribed to Iceland in the Kyoto Protocol. This target is dependent upon the

continuation of the decisions included in the Marrakech Accords, in particular the continuation of LULUCF and of Decision 14/CP.7. Iceland has previously adopted the long-term goal of reducing emissions by 50-75 per cent until 2050.

Japan

At the time of the United Nations Summit on Climate Change on 22 September 2009 in New York, the newly elected Prime Minister Yukio Hatoyama announced that Japan would aim to reduce its emissions by 25 per cent by 2020 if compared to the 1990 level, consistent with what the science had called for to halt global warming. Since Japan's efforts alone cannot halt climate change, its commitment is premised on establishment of a fair and effective international framework in which all major economies participate and agreement by those economies on ambitious targets.

Kazakhstan

Kazakhstan will request an amendment to Annex B to the Kyoto Protocol on the level of 100 per cent on the base year 1992. The low carbon strategy for the post-Kyoto regime is under consideration.

Monaco

Minimiser la quantité de gaz à effet de serre (GES) émise, dont les trois causes principales sont l'habitat, le traitement des déchets et les transports. Ainsi, dans le cadre du Protocole de Kyoto, ratifié par Monaco, le bilan des émissions de gaz à effet de serre (exprimées en equivalents CO₂) se situe pour l'année 2006 à 13% en dessous de celui de l'année 1990. La Principauté de Monaco se situe donc sur une trajectoire favourable à l'atteinte des objectifs qu'elle doit atteindre en application du protocole de Kyoto, à savoir réduire de 8%, sur la période 2008-12, ses émissions de gaz à effet de serre par rapport à celles de 1990.

En plus de ces engagements, la Principauté de Monaco a decide de réduire ses émissions de gaz à effet de serre:

- d'ici 2020, de 20% par rapport à celles de 1990;
- à l'horizon 2050, de 60%.

New Zealand

New Zealand has officially announced that it is prepared to take on a responsibility target for greenhouse gas emissions reductions of between 10 per cent and 20 per cent below 1990 levels by 2020, if there is a comprehensive global agreement. This means:

- the global agreement sets the world on a pathway to limit temperature rise to not more than 2°C;
- developed countries make comparable efforts to those of New Zealand;
- advanced and major emitting developing countries take action fully commensurate with their respective capabilities;
- there is an effective set of rules for land use, land-use change and forestry (LULUCF); and
- there is full recourse to a broad and efficient international carbon market.

It is expected that New Zealand would meet its target through a mixture of domestic emission reductions, the storage of carbon in forests, and the purchase of emissions reductions in other countries.

Norway

In the context of an ambitious global agreement, Norway intends to cut global emissions equivalent to 100 per cent of its own greenhouse gas emissions, becoming a carbon neutral nation within 2030. Norway will undertake to reduce total greenhouse gas emissions by 30 per cent by 2020 relative to 1990 levels. The aim is to reduce two thirds of emissions domestically bringing Norway on the path to become a low carbon society (FCCC/KP/AWG/2009/MISC.1, page 39).

Switzerland

On August 26 this year, Switzerland's Federal Council adopted a draft legal text concerning the national climate policy after 2012. It has been passed on to Parliament for consultations. The final adoption by Parliament is expected for 2011. The proposed legal text includes an objective to reduce the greenhouse gas emissions by at least 20 per cent until 2020 compared to 1990 levels. In the context of a binding international agreement for the period 2013-2020 Switzerland would consider a higher reduction target of 30 per cent until 2020 compared to 1990, under the condition that other developed countries commit themselves to comparable emissions reductions and that economically more advanced developing countries contribute adequately according to their responsibilities and respective capabilities.

Ukraine

Ukraine is ready to commit to the greenhouse gas emissions reduction by 20 per cent by 2020 and by 50 per cent by 2050. Imposing stricter obligations on Ukraine will not only render impossible the economy growth, but will also prevent social and economic recovery of the country (FCCC/KP/AWG/2009/MISC.1, page 48 and further elaboration by Ukraine).

PAPER NO. 2: BELARUS ON BEHALF OF THE RUSSIAN FEDERATION AND UKRAINE

Dear Mr. Chair.

The Republic Belarus, and on behalf of Russian Federation and Ukraine, would like to note that some principals of the Convention, in particular its Article 4.6, concerning particularities of the Parties with economy in transition are being missed in some of the new negotiation texts. The provisions of a number of COP decisions with regard to technical assistance to these countries in technology transfer and capacity building issues (*decisions 3/CP.7, 4/CP.7 and 3/CP.13*) also have not been reflected.

There are two major distinctive features of the countries with economy in transition, which will be present yet during at least 8-10 years:

- 1. we are not capable, being Annex I Parties though, either financially or technically to help other countries in the field of capacity building and technology transfer;
- 2. we have a number of barriers in implementation of our mitigation actions and adaptation strategies that implies our crucial need of corresponding technical assistance from other Annex I Parties.

Acknowledging the aforementioned issues and taking into account the outcomes of the meeting with you held on Wednesday, Oct 7, 2009, we prepared some minor corrections to the text of document FCCC/AWGLCA/2009/INF.2 and corresponding non-papers of the Bangkok session.

Please, communicate the text below to Chairs and Co-Chairs of the relevant Contact Groups. We hope that this submission will be taken into account during the current session and will be further incorporated into the texts of the Barcelona resumed session.

Thank you very much for your help.

Annex I. A shared vision for long-term cooperative actions

pg. 6:

PP.10 [Emphasizing that] it is fundamental that Annex I countries comply fully with the provisions as set out in Articles 4.3, 4.4, and 4.5 as well as additional commitments on technology transfer and capacity-building [with due account of Article 4.6].

PP.10bis [Acknowledging that according to Article 4.6 of the Convention and relevant decisions of Conferences of the Parties the technical assistance in capacity-building and technology transfer for the Parties included in Annex I undergoing the process of transition to a market economy are essential to participate fully in and to implement effectively their commitments under the Convention.]

(Corresponding text of Contact Group on Shared Vision, non-paper No.5 by the Chair, version of 01/10/09 @ 15:00

pg. 7:

29. [Emphasizing that] it is fundamental that Annex I countries comply fully with the provisions as set out in Articles 4.3, 4.4, and 4.5 as well as additional commitments on technology transfer and capacity-building [with due account of Article 4.6]...

[29bis. Acknowledging that according to Article 4.6 of the Convention and relevant decisions of Conferences of the Parties the technical assistance in capacity-building and technology transfer for the Annex I Parties undergoing the process of transition to a market economy are essential to participate fully in and to implement effectively their commitments under the Convention.]

pg. 10:

[41bis. The new institutional arrangement will provide also technical support for the Annex I Parties undergoing the process of transition to a market economy in the following areas: (a) technology needs assessment for mitigation and adaptation actions, (b) enabling better environments for technology transfer and (c) capacity building and experience share for mitigation and adaptation.])

pg. 16:

32. The difference between the assigned amounts of Annex I Parties and their actual GHG emissions shall be quantified [as an increase in their emissions debt/accumulated per capita emissions/use beyond their equitable allocation of the global atmospheric resources] [and shall provide the basis of] [as an input for the consideration of] fulfillment by [Annex II Parties] Annex I Parties [, except for Parties with economies in transition,] of their commitments to provide financing, technology and compensation to developing countries for mitigating and adapting to climate change.

33. In the light of a shared vision based on historic responsibility/emissions, debt/per-capita emissions convergence/an equitable allocation of a shared atmospheric resource, [and in accordance with the provisions of the Convention,] [Annex II Parties] Annex I Parties [except for Parties with economies in transition] shall provide new and additional financial resources to meet the full costs incurred by developing country Parties [in complying with their obligations under Article 12, paragraph 1, and the full incremental costs of implementing measures that are covered by Article 4,

paragraph 1] [, particularly the most vulnerable countries including LDCs and SIDs, of meeting their commitments, towards the full, effective and sustained implementation of the Convention]. They shall also provide new and additional funding to cover the full incremental costs incurred by developing countries in implementing nationally appropriate mitigation actions undertaken in the context of sustainable development. [Annex II Parties] Annex I Parties [except for Parties with economies in transition] commit the amount of [] billion [Euros/dollars] in order to enable mitigation and adaptation actions in developing countries for the period now up to 2012. The [Conference of the] Parties shall periodically review the adequacy of levels of financing required to support mitigation and adaptation actions in developing countries, including a comprehensive review not later than 2011.

Annex II. Enhanced action on adaptation and its means of implementation

pg. 22:

PP.4 Being guided by Articles 3.2, 3.3, 4.3 and 4.4 [and with due regard of Article 4.6],

[PP.5bis Taking into account also decisions 3/CP.7, 4/CP.7 and 3/CP.13 by the Conference of Parties (COP) to the Convention at its seventh and thirteenth sessions,]

pg. 40:

35. [A Convention Adaptation Fund shall be established based on assessed contributions from **[Annex II Parties]** Annex I countries **[except for Parties with economies in transition]** and other possible sources of finance. The Convention Adaptation Fund must ensure sufficient financial resources for all developing country Parties to:]

pg. 43:

41 (c). [Levies on CO2 emissions [from [Annex II Parties] Annex I Parties [except for Parties with economies in transition] [in a position to do so]];]

41 (d) [Taxes on carbon-intensive products and services from [Annex II Parties] Annex I Parties [except for Parties with economies in transition];

41 (g) [Levies on international transactions [among Annex I Parties [except for Parties with economies in transition]];]

pg. 50:

56 (x) [Ensuring the full, effective, and sustained implementation of the Convention, in relation to the implementation of commitments for the provision of financial resources. This is mandated under Articles 4.1, 4.3, 4.4, 4.5, 4.8 and 4.9 [with due account of Article 4.6] of the Convention in accordance with Article 11 defining the financial mechanism under the Convention.]

pg. 54:

63. [Progress [in the compliance of financial commitments of [Annex II Parties] Annex I Parties [except for Parties with economies in transition] and][in the delivery of means of implementation to developing country Parties][in the implementation of][under] the adaptation [framework][programme] [is necessarily linked to the finance, transfer of technology and capacity building. All of these aspects should be monitored and reviewed.] [, including [in] the delivery of means of implementation to [all] developing country Parties, particularly low-lying and other small island countries, countries with low-lying coastal, arid and semi-arid areas or areas liable to floods, drought and desertification, and developing countries with fragile mountainous ecosystems that are particularly vulnerable to the adverse effects of climate change and progress in building resilience and reducing vulnerability], [should][must] be [monitored][reviewed][and evaluated] to ensure the [agreed] full implementation of adaptation actions [and commitments of developed country Parties under Article 4.3, 4.4 and 4.5 [with due account of Article 4.6] of the Convention] [supported by finance and technology and commitments relating to financial and technology support [in a measurable, reportable and verifiable manner,] utilizing scientific as well as sex-disaggregated socioeconomic data and in the context of transparency, mutual accountability and robust governance].

(Corresponding text of Contact Group on Adaptation, non-paper No.8 by the Co-Chairs, version of 03/10/09 @ 13:00

pg. 1:

PP.1 Being guided by Articles 2, 3.2, 3.3, 4.1, 4.3, 4.4 and 4.7 [and with due regard of Article **4.6**] of the Convention, and the Bali Action Plan adopted as decision 1/CP.13 [and taking into account also decisions 3/CP.7, 4/CP.7, 5/CP.7 and 3/CP.13] by the Conference of Parties (COP),

pg. 8:

19. The provision of means of implementation, including financial resources, technology transfer, and capacity building, is a commitment uncer Convention that must be urgently fulfilled in accordance with Articles 4.3, 4.4 and 4.5 [and with due regard of Article 4.6] of the Convention.

pg. 9:

23 (c). Levies on CO2 emissions from Annex I Parties [except for Parties with economies in transition] in a position to do so;

pg. 10:

23 (d) Taxes on carbon-intensive products and services from Annex I Parties [except for Parties with economies in transition];

23 (g) Levies on international transactions among Annex I Parties [except for Parties with economies in transition];

pg. 19:

(v) Ensuring the full, effective, and sustained implementation of the Convention, related to the implementation of commitments for the provision of financial resources. This is mandated under Articles 4.1, 4.3, 4.4, 4.5, 4.8 and 4.9 [with due account of Article 4.6] of the Convention in accordance with Article 11 defining the financial mechanism under the Convention.

Annex III. Enhanced action on mitigation

pg. 58:

8. Enhanced national/international action on mitigation of climate change [should/shall] be pursued with the aim of achieving the ultimate objective of the Convention to stabilize greenhouse gas concentrations in the atmosphere at a level that would prevent dangerous anthropogenic interference with the climate system. All Parties [should/shall] contribute towards this objective, in accordance with their common but differentiated responsibilities and respective capabilities, taking into account their historical responsibility and mitigation potential as determined by their respective national circumstances, social and economic conditions and other relevant factors highlighted in Articles **[4.6,]** 4.8, 4.9 and 4.10 of the Convention, including their access to alternative energy.

(Corresponding text of Contact Group on Mitigation, non-paper No.10 by the Chair, version of 06/10/09 @ 14:30

pg. 3:

10 All Parties [should/shall] contribute towards the ultimate objective, in accordance with their common but differentiated responsibilities and respective capabilities, taking into account their historical responsibility and mitigation potential as determined by their respective national circumstances, social and economic conditions and other relevant factors highlighted in Articles [4.6,] 4.8, 4.9 and 4.10 of the Convention, including their access to alternative energy.)

Annex IIIB. Enhanced action on mitigation. Nationally appropriate mitigation actions by developing countries

pg. 84:

51. [NAMAs by developing country Parties shall be supported and enabled by technology, financing and capacity-building in accordance with Articles 4.3, 4.5 and 4.7 [with due account of Article 4.6] of the Convention. [Annex II Parties] Annex I Parties [except for Parties with economies in transition] shall provide new and additional financial resources and technology, over and above that provided to enable developing countries to implement their commitments under Article 4.1 of the Convention.]

pg. 101:

181. [The support shall be verified within the existing in-depth review of national communications from [Annex II Parties] Annex I country Parties [except for Parties with economies in transition].]

184. [Financial resources from **[Annex II Parties]** Annex I Parties **[except for Parties with economies in transition]** shall be measured, reported and verified when provided to the Financial Mechanism. Technology transfer and capacity-building shall be measured, reported and verified during the course, and following completion, of the associated NAMA.]

(Corresponding text of Contact Group on Mitigation, Subgroup on paragraph 1(b)(ii) of the Bali Action Plan, non-paper No.12, Draft consolidated text on NAMA, version of 03/10/09 @ 15:45

pg. 4:

25 [[Annex II Parties] Annex I Parties [except for Parties with economies in transition]] [The developed country Parties including those included in Annex II to the Convention] shall provide new and additional financial resources and technology and institutional capacity-building support for NAMAs...

pg. 11:

Alternative to paragraph 51. Measurement, reporting and verification of NAMAs and their desired outcomes shall apply only to actions that have been enabled and supported be measurable, reportable and verifiable finance and technology by [Annex II Parties] Annex I Parties [except for Parties with economies in transition] though the proposed financial mechanism.

pg. 14:

67. Financial resources provided by **[Annex II Parties]** Annex I Parties **[except for Parties with** economies in transition] shall be measured, reported and verified when provided to the Financial Mechanism...)

Annex IV. Enhanced action on the provision of financial resources and investment

pg. 132:

14. Alternative 1: In order to meet both the scale of financial resources required and the commitments under Article 4.1, 4.3, 4.4, 4.5, 4.8 and 4.9 [and with due regard of Article 4.6] to support enhanced action on adaptation and mitigation by developing country Parties, including for technology cooperation and capacity-building, developed country Parties and other Parties included in [Annex II][Annex I [except for Parties with economies in transition]] to the Convention shall provide scaled-up, new and additional, over and above ODA, sustained, adequate, predictable and stable financial resources in a measurable, reportable and verifiable manner, without diverting ODA.

pg. 133:

16. [Chapeau]

Option 1

Alternative 1:

An assessed contribution from developed country Parties **[except for Parties with economies in transition]** based on the principles of equity, common but differentiated responsibilities, respective capabilities, GDP, GDP per capita, the polluter pays principle historical responsibility of Annex I Parties, historical climate debt, including adaptation debt, amounting to [[0.5–1][0.8][2] per cent of gross national product] at least [0.5–1 per cent of GDP]].

Option 2

Alternative 1:

The auctioning of [X] per cent of assigned amount units of Annex I Parties [except for Parties with economies in transition] at international level

pg. 134:

Option 3

Alternative 2:

Taxes on carbon-intensive products and services from Annex I Parties [except for Parties with economies in transition].

pg. 145:

75. All Annex I [except for Parties with economies in transition], [Annex II] [and Annex B Parties [except for Parties with economies in transition]] shall report on an annual basis, all contributions made. Annual reports of contributions by Parties shall be maintained by the secretariat in a contribution ledger. This ledger shall be maintained on a publicly available link on the secretariat website;

76. A compliance mechanism shall be established to ensure the full implementation of the commitments of Annex I [Annex II] [and Annex B Parties] [except for Parties with economies in transition] for commitments on Articles 4.3, 4.4, 4.5, 4.8 and 4.9 of the Convention with reference to their agreed assessed contributions for the provision of financial resources, This body shall:

(a) Review compliance of [developed country] [Annex I and Annex [B][II]Parties [except for Parties with economies in transition] with their commitments on the provision of financial resources in

a timely and predictable manner and in consonance with the needs identified by the developing country Party;

(b) [The Board of the Multilateral Fund shall undertake] Annually review compliance of [developed country] Annex I [and Annex B][Annex II] Parties [except for Parties with economies in transition] with their commitments on the provision of financial resources in a timely and predictable manner[to the Multilateral Fund for Climate Change] and in consonance with the needs identified by the developing country Party and shall make a report to the COP (or the Conference of Parties serving as the assembly of Parties) at it annual meeting;

(Corresponding text of Contact Group on Financing, non-paper No.13 by the Chair, version of 05/10/09 @ 16:00

pg. 5:

15.

Option 1

Alternative: An assessed contribution from developed country Parties [except for Parties with economies in transition] amounting to at least [[0.5-1][0.8][1.5][2] per cent of gross national product] at least [0.5-1] per cent of GDP]].

Alternative 2: An assessed contribution from developed country Parties [except for Parties with economies in transition] based on historical climate debt, including historical emission dept and adaptation debt, amounting to [[0.5-1][0.8][2] per cent of gross national product] at least [0.5-1] per cent of GDP]].

Option 2

The auctioning of [X] per cent of assigned amount units of Annex I Parties [except for Parties with economies in transition] at international level

pg. 6: Option 7

A levy of 2 per cent on capital transfers between entities in Annex I Parties [except for Parties with economies in transition] collected by Annex I Party governments and remitted in full to the Convention Adaptation Fund.

pg. 11:

20. All Annex I [Annex II] [and Annex B Parties] [except for Parties with economies in transition] shall report on an annual basis, all contributions made. Annual reports of contributions by Parties shall be maintained by the secretariat in a contribution ledger. This ledger shall be maintained on a publicly available link on the secretariat website;

21. A compliance mechanism shall be established to ensure the full implementation of the commitments of Annex I [Annex II] [and Annex B Parties] [except for Parties with economies in transition] for commitments on Articles 4.3, 4.4, 4.5, 4.8 and 4.9 of the Convention with reference to their agreed assessed contributions for the provision of financial resources, This body shall:

(a) Review compliance of [developed country] [Annex I and Annex [B][II]Parties [except for **Parties with economies in transition**] with their commitments on the provision of financial resources in

a timely and predictable manner and in consonance with the needs identified by the developing country *Party*;

(b) [The Board of the Multilateral Fund shall undertake] Annually review compliance of [developed country] Annex I [and Annex B] [Annex II] Parties [except for Parties with economies in transition] with their commitments on the provision of financial resources in a timely and predictable manner[to the Multilateral Fund for Climate Change] and in consonance with the needs identified by the developing country Party and shall make a report to the COP (or the Conference of Parties serving as the assembly of Parties) at it annual meeting;

pg. 19:

<u>Annex 4</u>

3. All Parties should contribute to the Fund, with the exception of the least developed Parties. Contribution from Annex I Parties [except for Parties with economies in transition] will be mandatory...) Annex V. Enhanced action on development and transfer of technology

pg. 147:

12. [Developed country Parties shall take all practicable steps to promote, facilitate and finance, the transfer of, or access to, environmentally sound technologies and know-how to other Parties, particularly Developing country Parties [and Parties with economies in transition], to enable them to implement the provisions of the Convention [and with due account of decision 4/CP.7]]

pg. 156:

29. A programme for capacity-building for accelerated technology development, deployment and diffusion in developing countries **[and Parties with economies in transition]** shall be developed. This programme for capacity-building should include the following elements, [taking into account the various activities completed or under way on a bilateral or multilateral basis and mainstreamed within an enhanced framework for capacity-building for mitigation and adaptation (decision 2/CP.7 **[and decision 3/CP.7]**)]:

pg. 157:

30. Parties shall promote the accelerated penetration of cost-effective technologies in non Annex I countries **[and Parties with economies in transition]** through pilot projects which strengthen their capacity to develop specifications for these applications which are appropriate to national circumstances, and create human resources necessary for the design, implementation, and operation and maintenance of these applications.

(Corresponding text of Contact Group on Technology Transfer, non-paper No.4 by the Co-Chairs, version of 02/10/09 @ 14:00

pg. 2:

(d) Aim to removal of barriers and ensure accessibility, affordability, appropriatness and adaptability of the technologies required by developing countries [and Parties with economies in transition];

pg. 5:

17. Developing country Parties **[and Parties with economies in transition]** shall be assisted in completing technology needs assessment, technology road maps and technology action plan, which may be integrated into national low-emission development strategies.

pg. 6:

21. A programme for capacity-building for accelerated technology development, deployment and diffusion in developing countries [and Parties with economies in transition] shall be developed [with due account of decision 4/CP.7]. This programme for capacity-building should include the following elements:

22. Parties shall promote the accelerated penetration of cost-effective technologies in non Annex I countries **[and Parties with economies in transition]** through pilot projects that strengthen their capacity, and create human resources necessary for the design, implementation, and operation and maintenance of these applications, appropriate to national circumstances.)

Annex VI. Capacity-building

pg. 176:

1. Parties should cooperate to address the capacity needs of developing countries [and Parties with economies in transition] taking into account the following guiding principles:

pg. 177:

2. [International cooperation [shall][should] be enhanced to support the capacities of developing country Parties [and Parties with economies in transition] to implement mitigation and adaptation [capacity-building] actions, including, inter alia:

pg. 178:

3. [Developed countries shall support developing countries **[and Parties with economies in transition]** to formulate and implement strategies and action plans to implement learning-by-doing stand alone capacity-building projects/programmes and activities within the agreed framework under the Convention.]

pg. 179:

7. ...

Option 2. Provision of capacity-building support to developing country Parties, along with delivery of financial support and technology transfer, shall be a legally binding obligation of [Annex II **Parties**] developed country Parties [except for Parties with economies in transition], with consequences for non-compliance.]

(Corresponding text of Contact Group on Capacity-Building, non-paper No.21 by the Co-Chairs, version of 08/10/09 @ 9:00

pg. 1:

PP5 Also recalling the specific relevance of decision 2/CP.7, containing in its annex the framework for capacity building in developing countries[, as well as decision 3/CP.7, containing the framework for capacity building in Parties with economies in transition],)

pg. 2:

I The objective of the enhanced action on capacity-building is to build, develop, strengthen, improve and enhance the capacities and capabilities of developing country Parties [and Parties with economies in transition] to contribute to the achievements of the full, effective and sustained implementation of the Convention.

3 (a) To fully implement the framework for capacity-building in developing countries as contained in the annex to decision 2/CP.7 [and in Parties with economies in transition as contained in decision 3/CP.7];)

pg. 4:

6. Option 2. [Provision of capacity-building support to developing country Parties, along with delivery of financial support and technology transfer, shall be a legally binding obligation of [Annex II Parties] developed country Parties [except for Parties with economies in transition], with consequences for non-compliance.])

7. Option 1. [Support for capacity-building activities shall be measured through the use of agreed and affective performance indicators [and in units to be established as part of the review of the implementation of the capacity-building framework adopted under decision 2/CP.7 [and 3/CP.7] in order to ensure that the resources provided by developed country Parties are benefiting developing countries [and Parties with economies in transition] within the context of the agreed activities identified and undertaken through a bottom-up, country-driven process.])

PAPER NO. 3: THE GROUP OF 77 AND CHINA

STATEMENTS ON BEHALF OF THE GROUP OF 77 AND CHINA BY H. E. AMBASSADOR DR. IBRAHIM MIRGHANI IBRAHIM, HEAD OF DELEGATION OF THE REPUBLIC OF THE SUDAN, AT THE OPENING AND CLOSING PLENARIES OF THE AD HOC WORKING GROUP ON LONG- TERM COOPERATIVE ACTION UNDER THE CONVENTION (AWGLCA)¹

Opening plenary, 29 March 2009, Bonn:

The Group reiterates that this process must be an open, party-driven, transparent, and inclusive process and focusing on the implementation of the Bali Acton Plan.

We meet today at a point of profound challenges to address the devastating impacts of climate change which, are only increasing, threatening the very existence of our societies and their development prospects. The Group would like to express its disappointment at the very slow progress of the implementation of the Bali Action Plan.

Our Group will continue its support and cooperation towards achieving the objectives of the Bali Action Plan, and reaching an agreed outcome that would "enable the full, effective and sustained implementation of the Convention through long-term cooperative action, now, up to and beyond 2012", in accordance with the provisions and principles of the Convention, in particular the principle of common but differentiated responsibilities. Mr. Chairman,

Mr. Chairman,

The Group would like to thank you for producing the document before us, as mandated, to facilitate the negotiation, building upon the ideas and proposals submitted by the Parties. The Group would like to draw attention, however, to the fact that many of its submissions have unfortunately been either omitted or not adequately reflected.

An example is the issue of Adaptation, which is the important priority for the Group of 77 and China. It is known that detailed proposals were submitted by members, and groups of members of G77 and China, on this very important and urgent issue, but were not adequately reflected in the document. Instead of focusing on meeting cost of adaptation as provided for in the Convention, the text places this obligation mainly on the developing countries themselves.

Similarly, the Group's concrete proposals on finance and technology have not been adequately expressed, nor have the commitments pertaining to these issues as stated in the Convention been explicitly included. The G77 and China would like to further share its concern that there has not yet been an open and clear exchange of views on specific proposals that the Group have submitted especially on the above issues.

Realizing that we should keep a constructive view, and having exchanged opinions with the AWG-LCA Chair, it is clear to us that the basis for negotiations are the parties' submissions and proposals. In this context we recall that this document is a paper prepared under the responsibility of the Chair, not reflecting a convergence of Parties' views nor, therefore, a basis for the further documents for negotiations. The G77 and China will continue to elaborate its proposals, priorities and focus areas from the perspectives of our group, expecting reactions from our Partners.

¹ The statements made on behalf of the Group of 77 and China at the opening and closing plenary meetings of the sessions of the AWG-LCA during the period from March 2009 to November 2009 have been made available in this document at the Group's request.

As we move into a negotiating mode and focus our attention on the enormous task before us, the Group of 77 and China will ensure that its positions are fully taken into account.

Time is running short, and much work has to be done in order to bring us to an agreed outcome at COP15. In this regard, the Group reiterates its call in this year of critical importance, for allowing sufficient time for its internal coordination in the organization of all sessions, including the pre-sessional period.

The G77 and China stand ready during this session to enter into an open and transparent dialogue that would move us forward in these discussions, and bring us closer to an agreed outcome in Copenhagen.

As we strive for an agreed outcome and a constructive process towards that end, the Group of 77 and China reiterates its belief in the importance of maintaining the integrity of that process within the UNFCCC framework.

We enter this phase of our discussions to negotiate in good faith, and will work under your able guidance, towards an outcome that will serve all our interests in a balanced manner, that may define the global cooperation necessary for us to address this urgent and most serious challenge of our times.

Closing plenary, 08 April 2009, Bonn:

We encourage you to ensure that the process shall continue to be open, party-driven, transparent, and focusing on the implementation of the Bali Acton Plan.

Every day that we spend in this process means the manifestation of more dangerous adverse effects of climate change to which all developing countries, and in particular the most vulnerable amongst us, suffer increasing loss and damage of lives, of settlements and of access to the basic necessities.

We need to act with urgency, and in a manner which is consistent with the objectives, principles and respective obligations of all Parties to this Convention. We would like to express our deep concern that up to now we see very little concrete engagement of our partners, the developed country Parties, in this process. There remains a wide gap in the understanding of positions that would allow us to move together forward to Copenhagen. In particular, there is a serious implementation deficit regarding developed countries' commitments related to the provision of financial resources and transfer of technology under the Convention.

As we remain constructively engaged in negotiations, the Group would once again like to underline that we are undertaking a process to enhance the full, effective and sustained implementation of the Convention. Therefore the Group is determined, in this process, to address the serious implementation gaps in the four main building blocks of the Bali Action, that is, mitigation, adaptation, financing and technology development and transfer under the Convention. All the proposals and submissions made by the Group of 77 and China, and its member States or groups of developing country parties, are made with a view to bridging all these implementation gaps.

The Group of 77 and China is looking forward to receiving a negotiating text in accordance with the mandate given to the Chair to prepare it for the June session. The Group, however, reiterates its position that the text should be based on Parties' submissions, proposals, and should reflect the Group's views and interests made through submissions and deliberation during the meetings of AWG-LCA.

The Group of 77 and China appreciates the discussion and exchange of views with the Parties during this session and considers it useful for further defining the milestones and the organization of the work of the Ad-Hoc Working Group given the limited time left.

While we welcome a renewed participation of the United States, we are still to hear from them how they aim to fully engage in an international process of negotiations, and how they view the proposals that are now before us.

The Group of 77 and China reiterates that for the developing countries all efforts of the international community should be conducive to change the current lifestyle, in particular that of Annex I Parties, and to place ourself in a sustainable development that would also contribute to the eradication of poverty.

The Group of 77 and China would like to reiterate its commitment to participate in good faith and in a truly transparent and open process. We would like also to continue to work diligently to implement the Bali Action Plan, in order to enable the full, effective and sustained implementation of the Convention. This has to come through long-term cooperative action, now, up to and beyond 2012, in full conformity with the provisions and principles of the Convention. We have to face with determination the most serious environmental and developmental challenge of our times, climate change and its adverse effects.

Opening plenary, 1 June, Bonn:

The Group would also like to start by reiterating its position that the AWG-LCA process must be and continue to be an open, Party-driven, transparent, and inclusive process and focusing only on enabling the full, effective and sustained implementation of the Convention as mandated by the Bali Action Plan.

This session marks a turning point in the LCA process in which serious substantive discussions on the content and form of the agreed outcome of the Bali Action Plan shall start. The Group would like to thank you for producing the negotiating text as mandated by the fourth session of the AWG-LCA as an initial step in the negotiations that we will have before us.

The Group finds, however, at this point, that the text should contain more balance and a clear reflection of the proposals of the Group. To this end, the Group will actively engage in discussions on the structure and substance of the text, to help us move forward towards an agreed outcome in Copenhagen.

The Group would also like to take this opportunity to restate its commitment to work constructively and diligently with all partners, in good faith, to make a real progress in this session towards reaching an agreed outcome that would "enable the full, effective and sustained implementation of the Convention through long-term cooperative action, now, up to and beyond 2012", in accordance with the provisions and principles of the Convention, in particular the principle of common but differentiated responsibilities.

The Group underlines the need for urgency and concrete action to address climate change and its adverse effects, as all of the developing countries and in particular the most vulnerable among us are daily suffering the damaging effects of climate change. This Convention has entered into force fifteen years ago. It is now about time for us to live up to all our common but differentiated commitments under this science-based, legally-binding agreement, the only one dealing with climate change, the defining challenge of our times.

Closing Plenary, 12 June, Bonn:

The Group would like to reiterate its firm position that the AWG-LCA process must be and continue to be an open, full transparent, Party-driven, and inclusive process and focusing only on enabling the full, effective and sustained implementation of the Convention as mandated by the Bali Action Plan. In this light, the Group of 77 and China urges the secretariat to ensure that all documents brought before us at the next session are translated into all six UN languages.

However large the spectrum of interests of a group of 135 developing countries represents, we have managed, and will continue to manage, to find common ground in our positions on these important negotiations, but time is of the essence.

The Group lacks an intersessional forum for forging these common positions, but more than that, we lack time to interact and refine these positions. We are trying all means available to us, through information technology tools, for example, but nothing replaces face-to-face interaction.

At the same time, it is well acknowledged within the system that when the Group does manage to move forward together, the process of negotiations also progresses much more rapidly.

Given the range of issues we face in the coming negotiations, and the complexity of some of these issues, the Group would need more time as we progress in our work to finetune their positions.

Urgent action is needed to address this serious challenge of climate change and its adverse effects. Agreement must be reached to forge an equitable global cooperation, in accordance with our common, but differentiated responsibilities which we have recognized, and the balance of these differentiated responsibilities which permeate each and every article of this legally binding agreement, the UNFCCC.

Fifteen years into its entry into force, we have developed a range of tools and solutions which would help us in our collective work towards enhancing the implementation of this convention, and enable its full, effective and sustained implementation.

Let us keep firmly in mind what we have agreed in this Convention: that the extent to which developing country parties will effectively implement their commitments under the convention will depend on the effective implementation by developed country parties of their commitments under the convention related to financial resources and transfer of technology and will take fully into account that economic and social development and poverty eradication are the first and overriding priorities of the developing country parties.

Implementation of commitments related to financial resources and transfer of technology therefore are crucial, and will determine whether we will indeed reach a "shared vision" and an equitable agreed outcome in Copenhagen.

Opening Plenary, 28 September, Bangkok:

We would also wish to take this opportunity to express the group's solidarity with the people of the Phillipines which recently suffered loss of lives and damage to crops due to the unprecedented rains which occurred in their country.

The group recognizes with appreciation and for the Convention's Secretariat for their excellent arrangements and the efforts made in preparing the documents for this session we would like to thank you Mr. Chairman, the facilitators and the UNFCCC secretariat for the work done to facilitate the negotiation in this session. The group also appreciates that many of the issues raised during the last session on the organization of work have been considered in this session

At this critical stage of the climate change negotiations the Group strongly feel the need to reiterating its standing position that the AWG-LCA process must be and continue to be an open, party-driven, transparent, and inclusive process. As we agreed in the consultations carried during the last informal meeting in Bonn, in this session the LCA must move into a full negotiation mode to define and shape the intended agreed outcome of the Bali Action Plan.

The Group also fully recognize the need for all Parties to work diligently, faithfully and expeditiously in order to fulfil the objectives of the Bali Action Plan by COP15 and reach an agreed outcome that ensures the full, effective and sustained implementation of the convention.

The G77 and China, the largest negotiating Group in this process has put on the table, since a year ago, constructive proposals for concrete actions to address the implementation gaps, in particular for financing, technology transfer and capacity-building. We await the effective engagement of the developed country Parties on these proposals. Here in Bangkok, we call for immediate negotiations on the texts before us. Since it is only three weeks remained for Copengahen

We stand ready for full engagement in negotiations. On the other side, we see that no concrete numbers have been put on the table under the AWG-KP. Regretably, no concrete proposals were made for specific amounts of financing. No real willingness was expressed to consider technology transfer. What we noticed are only proposals to shift responsibilities to the private sector, to the markets which recently show to have failed, even worse they are shifting the responsibility to the developing countries themselves.

No serious engagement was shown by our negotiating partners, neither on the numbers required from them, nor in particular on meeting their commitments under the Convention related to the provisions of new and additional financial resources, meeting costs of adaptation and transfer of technology. Instead we learn, with great dismay and disappointment, of a recent communication on financing from the European Commission that again, shirks the fulfilment of commitments, shifting these obligations to failed markets, to private sector and to developing countries themselves.

On adaptation, proposals on the table from the developed country Parties relegates the main burden of adaptation to developing countries themselves, through the use of their own national budgets for mainstreaming adaptation, This is in full contradiction to the explecit terms of the Convention which puts those commitments of meeting costs of adaptation, and providing agreed full incremental costs to enable adaptation actions, on the developed countries. Instead promises were made to give an unspecified amount to a subset of developing countries, to help them assess their needs.

For all these reasons, the world was intended to be missled by their media into thinking that developing countries are blocking progress in these negotiations or a successful outcome in Copenhagen.

Now here in Bangkok, we would like to express very clearly that we are ready for negotiations; We have been ready for some time ago to engage fully into discussions of the concrete proposals that the Group of 77 and China has put on the table. The success of Copenhagen will depend on the progress that all parties should make here in Bangkok.

Closing Plenary, 9 October, Bangkok

The Group 77 and China continued, at this session, its active engagement in the ongoing negotiations - in all the elements of the Bali Action Plan in an equal and balanced manner aiming to advance the work of the AWG-LCA towards completing its mandate and reaching an agreed outcome in Copenhagen that effectively respond to climate change and its devastating impacts on developing countries

At this critical stage of the climate change negotiations the Group strongly feels the need to reiterating its standing position that the AWG-LCA process must be and continue to be an open, party-driven, transparent, and inclusive process. As we move closely towards Copenhagen we would like you and the secretariat to ensure the full participation of all developing countries in a way that enables them to adequately represent the concerns and interests of their vulnerable people and communities and achieve an outcome that is just and equitable

We are at a very critical phase of our negotiations. We are greatly concerned at this point for the introduction of elements that are outside the mandate contained in the Bali Action Plan, and completely inconsistent with the Convention. Such moves at this time cause great concern for our work and compromise the goal of reaching an agreed outcome in Copenhagen.

The Convention, as you have said Mr. Chairman, is our home. It creates the space of understanding which allows us to move forward together and the Kyoto Protocol is the standard for the mitigation contribution of all Annex I countries. Be it in the magnitude and legal nature of commitments, be it in measuring, reporting, and verifying, be it in rules of compliance, the Kyoto Protocol is the established reference, now and in the future, in this field. In its work, the G77 and China does not consider options which are not based on the continued legal existence and effectiveness of the Kyoto Protocol.

We are the defenders of the only legal instruments addressing climate change and their adverse effects. If these are redefined, or worse, rejected by developed countries, we would have no indication of where we will be without these instruments to address the increasingly urgent problem of climate change and its adverse effects. The rejection of these instruments imply rejection of historical responsibilities for the problem of climate change. Denial of historical responsibilities implies denial of the commitment to provide developing countries with the new and additional financial resources, of meeting costs of adaptation and of facilitating and promoting access to and transfer of technology.

Our partners claim that they are taking the lead. Saying it, however, is not doing it, and all we are hearing and seeing as proposals from developed country Parties in these negotiations point to the contrary. In mitigation, in adaptation, in financing and in technology transfer, there are proposals shifting responsibilities to developing countries themselves, to failed markets, to private sector.

we have managed to advance in Bangkok on many specific issues. On some essential elements, however, we seem to be drifting apart from each other. The G77 and China reiterates its strong concern regarding proposals, including the proposals presented by our partners on frameworks for mitigation actions by all parties, that are incompatible with the Convention, the Kyoto Protocol and the Bali Action Plan. No amount of selective reading or creative interpretation will be sufficient to hide the fact that these proposals constitute renegotiations of the Convention with a view to generating new commitments that are entirely inappropriate for developing countries and also eliminate or diminish the appropriate commitments of developed countries. We oppose them directly and emphatically.

Adaptation remains the major concern for developing countries. Delayed or inadequate mitigation actions will only increase the costs and impacts borne by developing countries. Technology transfer and the provision of adequate financial resources are also a continuing concern in this process as we move to a low carbon economies. In addition, the social and economic consequences of response measures are of fundamental importance for developing countries. Response measures by developed countries could hinder the achievement of sustainable development, and hence, there is need to make progress in avoiding and minimizing negative consequences on developing countries and to ensure a gradual and just transition.

I would like to assure you that the Group will continue to support the LCA process and engage constructively in its upcoming sessions to achieve the aspired outcomes in Copenhagen. The G77 and China is committed to the climate change regime, committed to the negotiations underway and committed to a positive result. We are not demanding that our partners accept our terms, but calling on them to respect and accept the terms we have all agreed to, which is the Bali Action Plan, within the climate change regime. We are not refusing to engage, but hoping that we all might engage in a common

effort that is constructive, not in a collective tearing down of what we have built since the Rio Summit in 1992. It is with this spirit that we will participate in the Barcelona discussions.

Opening plenary, 2 November, Barcelona

At this critical juncture of our negotiations, the Group of 77 and China reaffirm their willingness to engage fully in substantive negotiations that will allow us to arrive at an equitable outcome in Copenhagen that would fulfil the mandate of the Bali Action Plan to enable the full, effective and sustained implementation of the Convention, in accordance with its provisions and principles.

We reiterate our strong call for negotiations in an open, transparent and inclusive, and above all, Partydriven process that would allow the voices of the smallest to the biggest developing countries among us to be heard and taken into account

We reaffirm that the UNFCCC process is the only legitimate channel of these negotiations, and denounce all means that would place the determination of the agreed outcome in Copenhagen in the hands of a few countries, be this at the highest political level.

We reject all attempts to undermine and weaken the two legally. binding instruments dealing with this grave environmental challenge that affect the lives and livelihoods of our populations who, while contributing the least to this problem, are the ones who, daily, suffer the most from the adverse effects of climate change.

We deplore all efforts that would shirk the responsibilities to fulfil the legal mandate for agreement on a second commitment period for the Kyoto Protocol with deep emission reductions targets as called for by science, and shift those responsibilities to the developing countries, by altering the balance of common but differentiated responsibilities under the Convention.

We call on developed country Parties to face their moral, ethical, political and legally-binding commitments under the Convention, in particular those related to the provision of new and additional, adequate and predictable financial resources and the development and transfer of technology and capacity-building

We underline that for an equitable agreed outcome in Copenhagen, it is essential to include in any agreed outcome adequate provisions for the establishment of mechanisms under the Convention for the operationalization of the financial mechanism under the authority of the COP, for meeting full costs of concrete adaptation actions of developing countries, and for an effective development and transfer of technology.

In turn, we will continue to pursue our sustainable development efforts, through growth and economic development that would cause the least damage to the environment, recognizing that the extent to which we will be able to fulfil our commitments under the Convention will depend on the extent to which

developed country Parties will fulfil their commitments related to the provision of financial resources and transfer of technology, furthermore recognizing that poverty eradication and social and economic development are the first and overriding priorities of developing countries.

Closing Plenary, 6 November, Barcelona:

As we approach Copenhagen, the Group reiterates its standing position that the negotiations under AWG-LCA must be and continue to be in an open, party-driven, transparent, and inclusive process. We would like to request you and the secretariat to ensure a full and effective participation by developing countries in all the negotiations under Bali Action Plan.

At this critical stage before Copenhagen, the G77 and China would also like to reaffirm its strong position that the UNFCCC process is the sole legitimate forum of these negotiations, and denounce all means that would place the determination of the agreed outcome in Copenhagen in the hands of a few countries, be this at the highest political level. It is time to call upon those developed countries to stop such attempts that will only obstruct the efforts to reach a balanced ambitious and comprehensive outcome Copenhagen.

We are seriously concerned with attempts to take the negotiations outside of the ambit of this Convention, and to prejudge and undermine the process undertaken under the only legitimate legallybinding Convention addressing the grave challenge of climate change.

The Group 77 and China is concerned over attempts to diminish the level of ambition of the outcome of Copenhagen. We deplore the slow progress made at this session, despite the continued efforts of the Group to engage fully and constructively, and in good faith, in substantive negotiations leading to an equitable, fair, just and ambitious outcome in Copenhagen, in accordance with Bali Action Plan. We would like to confirm our understanding that the work done in Barcelona will be carried as it stands to the eighth session of the AWGLCA.

The Group 77 and China remains firm on its position on the two parallel tracks of negotiations in this process without exporting vital parts of one, the Kyoto Protocol, into the other, the Convention, weakening the principles and obligations of the Convention, in particular the principle of common but differentiated responsibilities, and in the process, denying historical responsibilities.

The Group 77 and China sees an outcome that should include a strong agreement on ambitious reduction targets by developed countries that are not parties to the Kyoto Protocol and on the delivery of means of implementation. The group sees an effective financial mechanism under the authority of the Conference of the Parties to implement commitments related to the provision of financial resources; an effective mechanism for development and transfer of technology; and an institutional arrangement to deliver finance for the implementation of adaptation actions.

We see so far very little engagement on the part of our negotiating partners to move forward. Instead, we find very active engagement outside this process, undermining the negotiations, and dampening expectations for the outcome in Copenhagen.

PAPER NO. 4: INDONESIA

Proposal by the Government of Indonesia on Agreed Outcome of the 15th Conference of the Parties of the UNFCCC

In Barcelona, 2-6 November 2009, the Chair of AWG-LCA invited Parties to provide inputs on the legal form of the agreed outcome of Copenhagen.

In this regard, the Government of Indonesia has submitted its initial ideas of the proposal during an informal consultation of AWG-LCA on the 5 November 2009. This document elaborates in more details Indonesia's proposal for possible agreed outcome of Copenhagen under COP 15.

Indonesia is in the view that the proposed Copenhagen outcome is of equal importance with the CMP decision. It contains Parties' agreement to extend the Kyoto Protocol for its second commitment period.

Indonesia wishes to kindly request the Secretariat to communicate this proposal and make it available to all Parties in due course.

STRUCTURE OF DECISIONS UNDER COP 15

- 1. An umbrella decision containing Parties' political commitments:
 - a. Goal:

"To set global goal in stabilizing GHG concentrations in the atmosphere well below [xxx] ppm CO₂eq by, inter alia, including collectively reduce global emissions by at least [xx] percent from 1990 levels by 2050"

- b. Process:
 - Commence a process to enable the full, effective and sustained implementation of the four building blocks of the Bali Action Plan through the adoption of a legally-binding instrument. The process will be informed by the negotiations undertaken by the AWGLCA.
 - The said process should commence without delay, in parallel with sessions to conclude the work of Ad-Hoc Working Group for Further Commitment for Annex-1 Parties to the Kyoto Protocol.
- c. Timeline:
 - The process should be concluded by June 2010.
- d. Contents:
 - a. Guiding principles and objectives of the legal instrument should be based on the Convention, Decision 1/CP.13 (Bali Action Plan) and the recent scientific findings.
 - b. Framework and integrated action plan for integration, implementation, monitoring and evaluation of the cooperation action on mitigation, adaptation, technology and financing.
 - c. Elaboration of key elements for the legal instruments will be attached in a form of a set of COP Decisions based on Further Revised Negotiation Text as the basis.
- 2. A set of COP Decision containing key elements for the legal instruments:
 - a. Financing:

- To agree on Institutional Arrangement for the New and Additional Financing Mechanism under COP, include methodologies and procedures for generating resources, accessibility and delivery of finance
- b. Mitigation:
 - To agree on a process to set-up the new commitment for Developed Countries in the form of Nationally Appropriate Mitigation Commitments (NAMCs) that are comparable with the commitment of Annex-1 Parties to the Kyoto Protocol undertaken in the Kyoto Protocol process
 - To agree on a process to set-up the Nationally Appropriate Mitigation Actions (NAMAs) by Developing Countries that will define the nature and scope of NAMAs and its tiers.
 - To agree on Modalities and Procedures of MRV for NAMCs as well as Supported NAMAs and its supports (financial and technology)
- c. Adaptation:
 - To agree on Clusters and Criteria for Vulnerable Countries and Communities
 - To set up a process in order to scale up the funding for adaptation,.
- d. Others:
 - **REDD Plus**
 - Technology Cooperation
 - Capacity Building
 - Other Matters related to the implementation of the instrument.

STRUCTURE OF DECISION UNDER CMP 5

- 1. A CMP decision containing Parties' agreement for amendment of Kyoto Protocol pursuing to Article 3.9:
 - a. Goal:

"To amend the target of Annex B of Kyoto Protocol in the second commitment period in aggregate and individually; Annex 1 Parties to the Kyoto Protocol should reduce emission in aggregate by at least 40% from 1990 level by 2020 and 85% from 1990 level by 2050"

- b. Process:
 - Commence a process to adopt the amendment of target of Annex B for the second commitment period of Kyoto Protocol. The process will be informed by the negotiations undertaken by the AWGKP.
 - The said process should commence without delay, in parallel with sessions to conclude the work of Ad-Hoc Working Group for Long-Term Cooperative Actions.
- c. Timeline:
 - The process should be concluded by June 2010.
- d. Contents:
 - d. Guiding principles and Criteria-based approach for new target of emission reduction by Annex 1 Parties in aggregate and individually be based on recent scientific findings and current and historical level of emissions of Annex 1 Parties
 - e. Modalities and Procedures of the Entry into Force and Ratification of the Second Commitment Period.
 - f. Elaboration of key elements for implementing the amendment will be attached in a form of a set of CMP Decisions based on the Documents to Facilitate Negotiation as the basis.

- 2. A set of CMP Decision containing key elements for the second commitment periods:
 - a. Financing:
 - To agree on the continuation of flexible mechanisms with adjusted modalities and procedures in relation with the new targets of Annex 1 Parties
 - b. LULUCF:
 - To agree on role of LULUCF in Annex 1 countries in establishing the individual emission reduction targets in the second commitment period.
 - To agree on the cap for LULUCF related measures in flexible mechanism.
 - c. Other:
 - New Gases
 - Potential Consequences

PAPER NO. 5: JAPAN

Japan's input to Non-paper No. 34, "Revised annex IV to document FCCC/AWGLCA/2009/INF.2"

Japan would like to ask the Chair of the AWG-LCA to consider adding a new option to the section of "6. [Institutional arrangements, including funds][Institutional structure]" as indicated below.

Option X¹

Climate Change Funds, Adaptation Fund, and Green Enabling Environment Funds shall be established. (a) Climate Change Funds is to finance implementations of mitigation and adaptation activities, programmes and measures, (b) Adaptation Fund is to finance implementations of adaptation projects and programmes in the most vulnerable developing countries, and (c) Green Enabling Environment Funds is to finance enabling environment and capacity building activities. The Conference of Parties (COP) shall give guidance to the operating entities of these funds. Each operating entity shall provide regular reports on, inter alia, (a) its funding operations, in a measurable, reportable and verifiable (MRV) manner, and (b) the status of pledges and contributions from country Parties, to the COP for review. Matching mechanism of finance, matching mechanism of technology, and rules on MRV shall also be elaborated.

¹ The complete proposal is included in annex X.

Annex X

(Financial Mechanism of the Convention)

1. The Parties decide that Climate Change Funds, Adaptation Fund, and Green Enabling Environment Funds shall be established:

(Climate Change Funds)

- (a) To finance implementations of activities, programmes and measures on mitigation and adaptation;
- (b) To be administered by the World Bank;
- (c) To accept voluntary contributions, based on single- or multi-year pledges, as appropriate;

(Adaptation Fund)

- (a) To finance implementations of adaptation projects and programmes in the most vulnerable developing countries, *inter alia*, the least developed countries (LDCs) and small island developing countries;
- (b) To provide full-cost funding, if considered appropriate by an administrating body, for the activities included in the submitted national adaptation programmes of action (NAPA);
- (c) To be administered by an appropriate entity, taking into account the current practices of the Adaptation Fund under the Kyoto Protocol;
- (d) To be financed from the share of proceeds of credits to be generated from [clean development mechanism project activities][flexibility mechanisms], combined with voluntary contributions by Parties;

(Green Enabling Environment Funds)

- (a) To finance assistance for developing country Parties in enabling environment and capacity building activities, including, (a) preparation of inventories and national communications, (b) preparation and update of national action plans on mitigation, (c) preparation and update of NAPA, and (d) enabling activities on REDD-plus;
- (b) In cooperation with relevant organizations, an existing institution shall establish a new program "Green Enabling Environment Funds", and integrate its relevant works to improve its speed and expertise of assistance to developing country Parties on creating enabling environment and capacity building;
- (c) Voluntary contributions shall be allowed from country Parties for specific thematic areas covered by the "Green Enabling Environment Funds" programme.
- 2. Climate Change Funds, Adaptation Fund and Green Enabling Environment Funds shall be established as operating entities of the financial mechanism of the Convention.
- 3. The Conference of the Parties (COP) shall give guidance to the operating entities of the funds listed in paragraph 1 above on their policies, programme priorities and eligibility criteria. Each operating entity shall provide regular reports on its funding operations, in a measurable, reportable and verifiable (MRV) manner, to the COP for review. In order to enhance predictability, the reports shall include the status of pledges and contributions from country Parties.
- 4. Following new mechanisms/rules shall also be elaborated;
 - (a) Matching Mechanism of Finance;
 - (b) Matching Mechanism of Technology;
 - (c) Rules on MRV.

(Matching Mechanism of Finance)

- 5. The Matching Mechanism will be designed so as:
- 6. To provide, upon request, advice to developing countries in enabling speedy access to appropriate sources of funding that matches the needs of developing countries;
 - (a) To benefit developing countries through improving, upon request, their applications and proposals to various financial institutions and funds;
 - (b) To offer information and data on financial resources and schemes by establishing a public database prepared by a coordinating entity of the Matching Mechanism.
- 7. The Matching Mechanism shall take form of a group which draws on expertise of such experts as in climate change finance registered at an appropriate institution functioning as a coordinating entity.
- 8. The Parties further request the coordinating entity to report on the activities annually to the COP.

(Matching Mechanism of Technology: Advisory Group for Technology Cooperation (AGTC))

9. For the details of the AGTC, refer to paragraph 37 of Non-paper No.29 "Streamlined text and concepts contained within the reordering and consideration of text in the revised negotiating text (FCCC/AWGLCA/2009/INF.2, Annex V)"

(Rules on MRV)

10. In order to maximize the effectiveness of emission reduction, MRV rules should be developed (will be discussed in course of the discussions on mitigation action).

PAPER NO. 6: NIGERIA

Innovative Financing and International Maritime Emission Reduction Scheme

Proposal by Nigeria and Liberia | Draft COP 15 decision | 04 Nov 2009

(Relates to <u>AWG-LCA INF.1 para 173 option 4</u> & <u>non-paper 34: para 10 option 4</u>;

Levies on emissions from international maritime transport for developed countries ...

1. An innovative mechanism for financing climate change action and simultaneously reducing emissions from international maritime transport is hereby established. The mechanism shall be called the International Maritime Emission Reduction Scheme (IMERS).

2. The mechanism shall be based on a market-driven levy on emissions from international maritime transport.

3 In order to comply with the principles of the Convention, the application of the levy shall be differentiated.

4. Developing country Parties shall obtain refunds. The amount of refund shall be calculated annually in proportion to a country's share of worldwide imports. A developing country Party could voluntarily decide to forego a refund, or a part of it, and record its decision.

5. The levy shall apply to all ships over a predetermined size.

6. The levy shall be set at the rolling average market carbon price.¹

7. Revenue generated by this mechanism will contribute to the fulfillment of financial obligations under the Convention of Annex II Parties.

8. Revenue generated from the mechanism shall be split between assisting developing countries in implementing climate change action and the global shipping sector to accelerate reduction of its growing emissions. Financial resources shall be provided for:

- (a) Adaptation to climate change
- (b) Reduction of emissions from deforestation and forest degradation (REDD+)
- (c) Technology R&D, transfer, and transformation in the shipping sector

9. The proportion of funding between adaptation, REDD+ and technology shall be decided by the Conference of Parties and may change with time.²

10. In order to enable integrity of national carbon accounting, a quantity of emissions accountable to each developed country Party could be calculated by the mechanism.³

¹ Until a global carbon price emerges, the levy shall be set at the rolling average carbon price of the largest economywide emission reduction scheme, over a predetermined period of time, adjusted for any free emission allowances existing in the scheme.

² The funding for adaptation and REDD+ will be directed through existing funding mechanisms under the Convention, and Technology funding will be directed through a mechanism established by the International Maritime Organization.

12. The Conference of Parties shall adopt further principles, modalities, rules and guidelines for the functioning of the IMERS mechanism at its 16th session.⁵

³ This quantity of emissions shall be obtained by multiplying a global quantity of emissions from international shipping and a country's share of global imports by value. The Conference of Parties may replace the country's share of global imports with another measure when such becomes available.

⁴ In order to provide predictable funding and global compliance, the levy could be collected worldwide directly from ships, based on fuel consumption. The ships could be liable to pay the levy periodically to their carbon accounts, established with an appropriate existing global institution. Compliance could be included as part of ship certification. It may be enhanced by port entry conditions, declining entry to the port or detention until ship's compliance is met.

⁵ This may include expanding scope of the refund mechanism to Economies in Transition.

PAPER NO. 7: SWITZERLAND ON BEHALF OF THE ENVIRONMENTAL INTEGRITY GROUP

Environmental Integrity Group (EIG): Republic of Korea, Liechtenstein, Mexico, Monaco and Switzerland

Submission to the UNFCCC / 8 October 2009

Cities and climate change

Cities and urban areas - home to 50% of the world's population - are responsible for up to 75% of the global Greenhouse Gas (GHG) emissions. They cover less than one per cent of the earth's surface but 75% of all energy is consumed by the world's urban population. Several cities worldwide are already demonstrating leadership, taking responsibility for their GHG emissions and working towards their sustainability. In fact, a large number of cities have already put forward their own ambitious emission reductions targets achieving significant greenhouse gas reductions in many cases. Moreover, cities around the world have set networks and partnerships to join efforts on climate action. On this basis, we consider that cities can go even further if they have the right tools and support from their national governments, as well as from bilateral and multilateral cooperation programs under an enabling national and international framework.

Given that by 2030 it is expected that two thirds of the world population will live in urban areas, the cities' importance for combating climate change will even increase. Thereby, enhanced mitigation actions in the cities could play a pivotal role within the future framework of national appropriate mitigation actions in developed and developing countries, and in meeting national quantified emissions reduction targets for countries that have agreed such. The Ad Hoc Working Group on Long Term Cooperative Action under the Convention has included considerations on cities and climate change in several sections of its negotiating text. Those references reflect the acknowledgement of diverse Parties on the need of bringing the issue into focus.

Cities are also particularly vulnerable to climate change impacts. The rapid pace of urbanization and the high concentration of population living in urban areas increase the overall vulnerability of cities to climate change. The location of many cities in high-risk zones contributes to enhancing their vulnerability to floods, heat waves, droughts and other potential climate and hydro-meteorological dangers. Local air pollution is affected by climate change, too. Further, in the case of cities in developing countries, the size and vulnerability of informal settlements, generally built in fragile areas, also increases the attention that cities must pay to adaptation as part of their development strategies.

Cities concentrate as well a vast quantity of resources, infrastructure and economic activity, that must be protected from climate impacts. The particular characteristics and features of urban areas demand tailored adaptation measures and strategies.

We recognize that adaptation and mitigation measures need to go hand in hand and that they mutually reinforce the opportunities and benefits of promoting climate action in urban areas.

The potential of cities to contribute to climate change action

In many fields relevant for climate change action, cities are important as investors or regulators. This includes in particular the broad spectrum of municipal infrastructure where cities or pro-active city networks as C40 can provide strategic influence and deliver or act as catalysts for action:

• **Transport** - increase the use of public transport and ensure that transport is low or zero emission; establish smart traffic guidance systems which reduce congestion and ease access; establish incentives for better fuel performance and CO2 reduction in new vehicles, and for renewing the vehicular pool.

- Waste pioneer energy from advanced waste management technologies such as anaerobic digestion and gasification in municipal landfills or sewage treatment plants; promote waste reduction through reuse and recycling of resources.
- Lighting accelerate the uptake of energy efficient lighting in homes and on streets, such as CFLs and LED's (Light Emitting Diodes).
- **Renewable energy** lead and encourage the uptake and use of renewable energy sources such as solar, wind, mini-hydro and biomass.
- **District heating** develop modern highly efficient energy networks, delivering heat and power locally and improving energy security in places where these systems are needed and used.
- Efficient water supply- boost water efficiency through sharing best practices on efficient water supply systems and usage among cities, municipality and rural areas, thus reducing energy consumption for pumping.
- Energy efficiency support environmentally sound technologies and promote energy-efficiency and co-generation in the industry as well as in public utilities; develop and implement standards on energy efficiency for industrial and domestic systems and appliances.
- **Building Sector** reduce energy losses in heating or air condition across a city by retrofitting public, private and commercial buildings; foster policies that promote that new developments consider low carbon measures and technologies and in some cases even get carbon neutral.

Regarding **adaptation**, cities can develop sector and social vulnerability assessments considering the particular characteristics and features of urban areas, and favor the design and implementation of urban adaptation strategies as part of national climate change and development plans.

Moreover, cities can positively influence **behavioural change** – engaging citizens and entrepreneurs in reducing their carbon footprint. Cities can take up sustainability criteria in their procurement, thus implementing the concepts developed by the Marrakech Task Force on Sustainable Public Procurement.

All in all, cities have the unique opportunity to guide the **spatial development** (urban planning) and limit the carbon footprint of their economies. They can accelerate the move towards sustainable cities through strategic long term, integrated approaches, infrastructure investments and regulatory measures (enabling policy framework).

Many of the above mentioned fields do qualify for carbon finance – different CDM– methodologies exist. Nevertheless, it has proved difficult so far to develop CDM projects in many of those fields due to the barriers and constraints that the CDM currently faces. In this regard, it is necessary to improve the CDM and tailor methodologies to specific cities needs, and promote them amongst municipal authorities. So far, local authorities have been strongly under-represented as developers of CDM-projects.

This emphasizes the need for local capacity building and a better understanding between national governments and the cities on potential carbon mitigation projects that might exist. Targeted capacity building programmes like the World Bank's Carbon Finance Assist (<u>www.cfassist.org</u>) help to address this issue.

Motion

The Environmental Integrity Group Invites the UNFCCC:

- a) To recognise the role, achievements and potential of cities in climate change action.
- b) To recognize that strategic investments in low-carbon cities, such as promoting cities access to national and international cooperation programmes to combat climate change, will result in reductions in greenhouse gas emissions as well as stronger national economies due to increased

demand for innovation and green technologies, the associated job creation, as well as reduced energy costs.

- c) To suggest that the IPCC add a chapter on cities to its Working Group and Synthesis Reports.
- d) To encourage the development of strategies, programmes, projects, and partnerships that focus on the ability of cities to respond and adapt to climate change, and to make major contributions to mitigation actions of national significance, contributing to meet – where applicable - national targets for greenhouse gas reductions.

The role national governments

Cities are already engaging in climate change action, but want to do more, as recently expressed in the "Seoul Declaration" of the 3rd C40 Large Cities Climate Summit (18-21 May 2009 in Seoul, Republic of Korea).

Now, Parties are invited to support their cities as actors of climate change mitigation and adaptation through the following means:

- Engage closely with their city leaders, whose responsibility for critical services mean they are well placed to support the delivery of GHG emissions reductions. Cooperation is needed in many relevant fields such as the trade and investments framework, tariff setting (e.g. energy tariffs, feed-in tariffs) infrastructure planning (e.g. linking local and national transport systems), business regulations relevant for technology transfer.
- 2) Empower their cities through supportive framework conditions, in particular through an enabling policy framework, institutional cooperation and by lifting constraints to cities so that they can take action within cities to drive down GHG emissions.
- 3) Resource their cities so that they are equipped with the relevant tools, services and finance, including carbon finance, that will enable them to develop national appropriate mitigation actions, and to deliver on nationally agreed GHG reduction targets where such have been agreed.
- 4) Support cities in their effort to create GHG inventories and citywide mitigation and adaptation strategies with concrete climate change action plans.
- 5) Encourage knowledge exchange and benchmarking between cities on low-carbon strategies and adaptation plans, including city twinning arrangements. Establish an efficient communication and decision procedures between the DNA and the municipal administrations potentially engaged in climate change mitigation, and continuously increase efficiency and transparency of the DNA.
- 6) Seek systematic coordination and active participation of the cities and other sub-national entities as appropriate when developing, formulating and implementing national climate change strategies.

PAPER NO. 8: URUGUAY

Contribución de URUGUAY al Plan de Acción de Bali

Uruguay desea hacer explícita su intención de lograr un ambicioso acuerdo en Copenhague con la participación de toda la comunidad internacional, así como comprometer su mayor esfuerzo en el logro de este objetivo.

Apoyamos el objetivo y los principios de la Convención y su Protocolo y, especialmente, el principio de las responsabilidades comunes pero diferenciadas que allí se consagran.

Uruguay es un país muy vulnerable a los efectos adversos del cambio climático y de la variabilidad climática.

Cada vez con mayor frecuencia somos impactados por eventos extremos tales como tormentas severas, fuertes inundaciones y graves sequías que afectan a nuestras poblaciones, nuestras infraestructuras, nuestros procesos productivos, nuestros ecosistemas, nuestra biodiversidad y, muy especialmente, nuestro sector agrícola, condicionando con esto fuertemente nuestro desarrollo productivo.

Asimismo, Uruguay posee zonas costeras donde reside más del 70% de su población, que se verán seriamente afectadas por el aumento del nivel del mar y el aumento de la frecuencia de los eventos severos, resultando en futuros impactos también para el sector turismo.

Dentro de nuestras capacidades económicas estamos realizando los mayores esfuerzos para atender, de forma prioritaria, los crecientes costos que requiere la adaptación y también estamos trabajamos en la implementación de acciones de mitigación.

Por ello, Uruguay ha planteado reiteradamente ante la comunidad internacional la necesidad de mejorar y ampliar las capacidades del Fondo de Adaptación del Protocolo de Kyoto, de modo que permita atender eficazmente nuestras vulnerabilidades.

También hemos insistido en la urgente necesidad de que los países desarrollados den pleno cumplimiento a los compromisos vinculantes asumidos en la Convención, proporcionando los recursos necesarios para que los países en desarrollo hagan frente a los efectos adversos del cambio climático y a los costos de su adaptación a esos efectos adversos.

Desafortunadamente, no se ha logrado hasta ahora el nivel de respuesta esperado.

No obstante, conscientes de la gravedad del problema global que enfrenta el planeta, estamos dispuestos a avanzar en este sentido.

Pretendemos así cumplir con lo que consideramos una obligación moral para con las generaciones futuras y también señalar lo que entendemos es el mejor camino para alcanzar un acuerdo que nos conduzca a cumplir el objetivo final de la Convención.

Para ello, el Consejo de Ministros –máximo órgano de conducción política del Gobierno uruguayocelebrado el pasado 26 de octubre, resolvió asumir una posición proactiva frente al tema, para contribuir al logro de un acuerdo en Copenhague.

Así, Uruguay se compromete ante la comunidad internacional a continuar implementando en forma unilateral medidas de mitigación voluntarias y medibles para contribuir a la reducción de los GEI.

Entre las múltiples acciones ya cumplidas por nuestro país, se puede mencionar como ejemplo la modificación de nuestra matriz energética. Actualmente el 6% de la potencia instalada de energía eléctrica en el país proviene de fuentes de energía renovables no tradicionales, lo que representa el mayor índice de toda América. Y esto es solo el inicio porque nos hemos fijado la meta de aumentar ese porcentaje hasta el 15% para el año 2015.

Estas y otras acciones son imprescindibles y es urgente que se comiencen a aplicar para garantizar el desarrollo sustentable de toda la humanidad.

Pretendemos de esta forma estimular un clima de confianza mutua esencial para el logro de un acuerdo y aspiramos a que ello sirva como un modelo a seguir por otros países.

Barcelona, 2 de noviembre de 2009

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