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## Subsidiary Body for Implementation

Forty-first session

Lima, 1–8 December 2014

Item 2(a) of the provisional agenda

**Organizational matters**

**Adoption of the agenda**

### Provisional agenda and annotations

#### Note by the Executive Secretary

#### I. Provisional agenda

1. Opening of the session.
2. Organizational matters:
  - (a) Adoption of the agenda;
  - (b) Organization of the work of the session;
  - (c) Multilateral assessment working group session under the international assessment and review process;
  - (d) Election of officers other than the Chair.
3. Reporting from and review of Parties included in Annex I to the Convention:
  - (a) Status of submission and review of sixth national communications and first biennial reports from Parties included in Annex I to the Convention;
  - (b) Compilation and synthesis of sixth national communications and first biennial reports from Parties included in Annex I to the Convention;
  - (c) Compilation and synthesis of supplementary information incorporated in sixth national communications from Parties included in Annex I to the Convention that are also Parties to the Kyoto Protocol;
  - (d) Revision of the “Guidelines for the preparation of national communications by Parties included in Annex I to the Convention, Part II: UNFCCC reporting guidelines on national communications”;
  - (e) Report on national greenhouse gas inventory data from Parties included in Annex I to the Convention for the period 1990–2012;

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- (f) Annual compilation and accounting report for Annex B Parties under the Kyoto Protocol for 2014.
- 4. Reporting from Parties not included in Annex I to the Convention:
  - (a) Information contained in national communications from Parties not included in Annex I to the Convention;<sup>1</sup>
  - (b) Work of the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention;
  - (c) Provision of financial and technical support.
- 5. Work programme to further the understanding of the diversity of nationally appropriate mitigation actions.
- 6. Matters relating to the mechanisms under the Kyoto Protocol:
  - (a) Review of the modalities and procedures for the clean development mechanism;
  - (b) Review of the joint implementation guidelines;
  - (c) Modalities for expediting the continued issuance, transfer and acquisition of joint implementation emission reduction units;
  - (d) Procedures, mechanisms and institutional arrangements for appeals against decisions of the Executive Board of the clean development mechanism;
  - (e) Report of the administrator of the international transaction log under the Kyoto Protocol.
- 7. Matters relating to the least developed countries.
- 8. Report of the Adaptation Committee.
- 9. National adaptation plans.
- 10. Warsaw International Mechanism for Loss and Damage associated with Climate Change Impacts.
- 11. Matters relating to finance:
  - (a) Second review of the Adaptation Fund;
  - (b) Further guidance to the Least Developed Countries Fund.
- 12. Development and transfer of technologies and implementation of the Technology Mechanism:
  - (a) Joint annual report of the Technology Executive Committee and the Climate Technology Centre and Network;
  - (b) Poznan strategic programme on technology transfer.
- 13. Capacity-building:
  - (a) Capacity-building under the Convention;
  - (b) Capacity-building under the Kyoto Protocol.
- 14. Impact of the implementation of response measures:

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<sup>1</sup> At the fortieth session of the Subsidiary Body for Implementation (SBI) there was no consensus to include this item on the agenda. It was therefore held in abeyance. On a proposal by the Chair, the SBI decided to include this item on the provisional agenda for SBI 41.

- (a) Forum and work programme;
  - (b) Matters relating to Article 3, paragraph 14, of the Kyoto Protocol;
  - (c) Progress on the implementation of decision 1/CP.10.
15. The 2013–2015 review.
  16. Gender and climate change.
  17. Arrangements for intergovernmental meetings.
  18. Administrative, financial and institutional matters:
    - (a) Audited financial statements for the biennium 2012–2013;
    - (b) Budget performance for the biennium 2014–2015.
  19. Reports on other activities:
    - (a) Report on the expert meeting on an information hub for information on the results of the activities referred to in decision 1/CP.16, paragraph 70, and results-based payments;
    - (b) Summary report on the 2<sup>nd</sup> Dialogue on Article 6 of the Convention.
  20. Other matters.
  21. Closure of and report on the session.

## II. Annotations to the provisional agenda

### 1. Opening of the session

1. The forty-first session of the Subsidiary Body for Implementation (SBI) will be opened by the Chair, Mr. Amena Yauvoli (Fiji), on Monday, 1 December 2014, at 3 p.m.

### 2. Organizational matters

#### (a) Adoption of the agenda

2. The provisional agenda, prepared by the Executive Secretary in agreement with the Chair, will be presented for adoption.

#### (b) Organization of the work of the session

3. *Background:* SBI 41 will be held from 1 to 8 December 2014. Negotiating groups will meet until the afternoon of 5 December, after which the first part of the closing plenary meeting will be held to adopt conclusions on all substantive items. The SBI will convene its multilateral assessment working group session on 6 and 8 December, as outlined in paragraphs 6–8 below. The SBI will hold the final part of its closing plenary meeting immediately after the end of the multilateral assessment working group session, on 8 December.

4. Delegates are invited to consult the SBI 41 web page,<sup>2</sup> to refer to the overview schedule<sup>3</sup> and the in-session Daily Programme and to regularly consult the closed-circuit

<sup>2</sup> <[www.unfccc.int/8500](http://www.unfccc.int/8500)>.

<sup>3</sup> <[http://unfccc.int/files/meetings/lima\\_dec\\_2014/application/pdf/cop20cmp10\\_overview\\_schedule.pdf](http://unfccc.int/files/meetings/lima_dec_2014/application/pdf/cop20cmp10_overview_schedule.pdf)>.

television screens for an up-to-date schedule of the work of the SBI, including in-session mandated events.<sup>4</sup> Items not concluded at SBI 41 will be forwarded for consideration at subsequent sessions, in accordance with the draft rules of procedure being applied. In order to maximize negotiation time and ensure timely closure, presiding officers may propose, in consultation with Parties, time-saving approaches to the organization and scheduling of meetings during the session, taking into account previous relevant SBI conclusions.<sup>5</sup>

5. *Action:* The SBI will be invited to agree on the organization of the work of the session.

(c) Multilateral assessment working group session under the international assessment and review process

6. *Background:* The multilateral assessment process is part of the international assessment and review (IAR) process established under the SBI for developed country Parties. The IAR process aims to promote the comparability of efforts among all developed countries with regard to their quantified economy-wide emission limitation and reduction targets. The modalities and procedures for this process were adopted at COP 17.<sup>6</sup>

7. The IAR process comprises a technical review of biennial reports (BRs) and a multilateral assessment of the developed country Parties' progress towards their quantified economy-wide emission reduction targets. The multilateral assessment entails:

(a) A question and answer process whereby any Party may submit written questions to the Parties being assessed, and those Parties endeavour to respond to the questions within two months;

(b) An assessment of the Parties concerned with the participation of all Parties during the multilateral assessment working group session. The Party being assessed may make a brief oral presentation, followed by questions to it from other Parties.

8. For the first round of the multilateral assessment, the working group session will be convened on 6 and 8 December 2014. Seventeen developed countries will be multilaterally assessed.<sup>7</sup> Further information on the organization of this session will be posted on the SBI 41 web page.<sup>8</sup>

9. *Action:* The SBI will be invited to take note of the information on the organization of the 1<sup>st</sup> multilateral assessment working group session.

<i>FCCC/SBI/2014/9</i>	<i>Provisional agenda and annotations. Note by the Executive Secretary</i>
<i>Further information</i>	<i>&lt;www.unfccc.int/8500&gt; and &lt;www.unfccc.int/8451&gt;</i>

(d) Election of officers other than the Chair

10. *Background:* The SBI will elect its Vice-Chair and Rapporteur. The current officers will remain in office until their successors are elected. Parties are invited to give active consideration to the nomination of women for elective posts.

<sup>4</sup> Such events include the 4<sup>th</sup> meeting of the structured expert dialogue on the 2013–2015 review. See paragraph 98 below.

<sup>5</sup> FCCC/SBI/2014/8, paragraphs 218–221.

<sup>6</sup> Annex II to decision 2/CP.17.

<sup>7</sup> See <www.unfccc.int/8451>.

<sup>8</sup> <www.unfccc.int/8500>.

11. When the SBI exercises its functions with regard to matters concerning the Kyoto Protocol, any member of its Bureau representing a State that is a Party to the Convention but, at that time, not a Party to the Kyoto Protocol shall be replaced by an additional member to be elected by and among the Parties to the Kyoto Protocol.

12. *Action:* The SBI will be invited to elect its officers at the earliest opportunity following the completion of consultations. If necessary, the SBI will be invited to elect additional officers to replace the Vice-Chair and/or Rapporteur representing a State that is a Party to the Convention but not to the Kyoto Protocol.

<i>Further information</i>	< <a href="http://www.unfccc.int/6558">www.unfccc.int/6558</a> >
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### 3. Reporting from and review of Parties included in Annex I to the Convention

(a) Status of submission and review of sixth national communications and first biennial reports from Parties included in Annex I to the Convention

13. *Background:* COP 16 decided that Parties included in Annex I to the Convention (Annex I Parties) should enhance the reporting in national communications (NCs) and submit BRs which outline progress in achieving emission reductions and the provision of financial, technology and capacity-building support to Parties not included in Annex I to the Convention (non-Annex I Parties), building on existing reporting and review guidelines, processes and experiences.<sup>9</sup>

14. Developed country Parties were requested to submit, by 1 January 2014, a sixth NC (NC6) and a first BR (BR1).<sup>10</sup> As at 12 September 2014, the secretariat had received 44 NC6s, 42 BR1s and 43 BR1 common tabular format submissions and has coordinated reviews of NC6s and BR1s of 30 Parties.

15. *Action:* The SBI will be invited to take note of the status of submission and review of NC6s and BR1s.

<i>FCCC/SBI/2014/INF.19</i>	<i>Status of submission and review of sixth national communications and first biennial reports. Note by the secretariat</i>
<i>Further information</i>	< <a href="http://www.unfccc.int/7742">www.unfccc.int/7742</a> > and < <a href="http://www.unfccc.int/7550">www.unfccc.int/7550</a> >

(b) Compilation and synthesis of sixth national communications and first biennial reports from Parties included in Annex I to the Convention

16. *Background:* The secretariat will prepare a compilation and synthesis report on the information reported by Annex I Parties in their NC6s and BR1s for consideration at COP 20.<sup>11, 12</sup>

17. *Action:* The SBI will be invited to consider the compilation and synthesis report on the NC6s and BR1s and recommend a draft decision on this matter, as appropriate, for consideration and adoption at COP 20.

<sup>9</sup> Decision 1/CP.16, paragraph 40.

<sup>10</sup> Decisions 9/CP.16 and 2/CP.17, paragraph 13.

<sup>11</sup> Decision 2/CP.17, paragraph 21.

<sup>12</sup> Decision 22/CP.19, paragraph 2.

<i>FCCC/SBI/2014/INF.20</i>	<i>Compilation and synthesis of sixth national communications and first biennial reports from Parties included in Annex I to the Convention. Executive summary. Note by the secretariat</i>
<i>FCCC/SBI/2014/INF.20/Add.1</i>	<i>Compilation and synthesis of sixth national communications and first biennial reports from Parties included in Annex I to the Convention. Note by the secretariat. Addendum. Policies and measures; past and projected greenhouse gas emission trends; quantified economy-wide emission reduction target and progress towards the target; and provision of financial, technological and capacity-building support to developing country Parties</i>
<i>FCCC/SBI/2014/INF.20/Add.2</i>	<i>Compilation and synthesis of sixth national communications and first biennial reports from Parties included in Annex I to the Convention. Note by the secretariat. Addendum. Vulnerability, impacts and adaptation; research and systematic observation; and education, training and public awareness</i>
<i>Further information</i>	<i>&lt;www.unfccc.int/3076&gt; and &lt;www.unfccc.int/2736&gt;</i>

(c) Compilation and synthesis of supplementary information incorporated in sixth national communications from Parties included in Annex I to the Convention that are also Parties to the Kyoto Protocol

18. *Background:* The secretariat will prepare a compilation and synthesis report on the supplementary information incorporated in the NC6s for consideration by the Conference of the Parties serving as a meeting of the Parties to the Kyoto Protocol (CMP) at its tenth session.<sup>13</sup>

19. *Action:* The SBI will be invited to consider the compilation and synthesis of supplementary information incorporated in the NC6s and recommend a draft decision on this matter, as appropriate, for consideration and adoption at CMP 10.

<i>FCCC/SBI/2014/INF.21</i>	<i>Compilation and synthesis of supplementary information incorporated in sixth national communications from Parties included in Annex I to the Convention that are also Parties to the Kyoto Protocol. Note by the secretariat</i>
<i>Further information</i>	<i>&lt;www.unfccc.int/3076&gt; and &lt;www.unfccc.int/2736&gt;</i>

<sup>13</sup> Decision 9/CMP.9.

- (d) Revision of the “Guidelines for the preparation of national communications by Parties included in Annex I to the Convention, Part II: UNFCCC reporting guidelines on national communications”

20. *Background:* SBI 40 initiated its consideration of the revision of the “Guidelines for the preparation of national communications by Parties included in Annex I to the Convention, Part II: UNFCCC reporting guidelines on national communications” (hereinafter referred to as UNFCCC reporting guidelines on NCs).<sup>14</sup> To enable the SBI to complete this revision, SBI 40 invited more submissions from Annex I Parties on their experience with preparing their BRIs.<sup>15, 16</sup> Parties were also invited to submit their views on the revision of the UNFCCC reporting guidelines on NCs.<sup>17, 18</sup>

21. The secretariat will prepare a technical paper<sup>19</sup> as an input to discussions by Parties at SBI 41 on the revision of the UNFCCC reporting guidelines on NCs.

22. *Action:* The SBI will consider the technical paper and recommend revised guidelines for consideration and adoption at COP 20.

<i>FCCC/TP/2014/5</i>	<i>Revision of UNFCCC reporting guidelines on national communications from Parties included in Annex I to the Convention. Technical paper</i>
<i>Further information</i>	<i>&lt;www.unfccc.int/1095&gt; and &lt;www.unfccc.int/2707&gt;</i>

- (e) Report on national greenhouse gas inventory data from Parties included in Annex I to the Convention for the period 1990–2012

23. *Background:* The secretariat prepares an annual report containing the latest information on greenhouse gas (GHG) inventory data submitted by Annex I Parties for consideration by the COP and its subsidiary bodies.<sup>20</sup> This year’s report covers the period 1990–2012.

24. *Action:* The SBI will be invited to take note of the information contained in the report.

<i>FCCC/SBI/2014/20</i>	<i>National greenhouse gas inventory data for the period 1990–2012. Note by the secretariat</i>
<i>Further information</i>	<i>&lt;www.unfccc.int/4146&gt;</i>

- (f) Annual compilation and accounting report for Annex B Parties under the Kyoto Protocol for 2014

25. *Background:* The secretariat publishes annual compilation and accounting reports<sup>21</sup> to be forwarded to the CMP, the Compliance Committee and each Party concerned.

<sup>14</sup> Decision 2/CP.17, paragraph 18.

<sup>15</sup> Decision 2/CP.17, paragraph 17.

<sup>16</sup> FCCC/SBI/2014/8, paragraph 14.

<sup>17</sup> FCCC/SBI/2014/8, paragraph 16.

<sup>18</sup> As soon as submissions are received, they are made available on the submission portal at <www.unfccc.int/5900>.

<sup>19</sup> Decision 2/CP.17, paragraph 20.

<sup>20</sup> Decision 19/CP.8.

<sup>21</sup> Decision 13/CMP.1.

26. *Action:* The SBI will be invited to consider the information contained in the 2014 report and to recommend conclusions for consideration and adoption at CMP 10.

<i>FCCC/KP/CMP/2014/7</i>	<i>Annual compilation and accounting report for Annex B Parties under the Kyoto Protocol for 2014. Note by the secretariat</i>
<i>FCCC/KP/CMP/2014/7/Add.1</i>	<i>Annual compilation and accounting report for Annex B Parties under the Kyoto Protocol for 2014. Note by the secretariat. Addendum. Compilation and accounting information by Party</i>
<i>Further information</i>	<i>&lt;<a href="http://unfccc.int/di/FlexibleCADQueries.do">http://unfccc.int/di/FlexibleCADQueries.do</a>&gt;</i>

#### 4. Reporting from Parties not included in Annex I to the Convention

(a) Information contained in national communications from Parties not included in Annex I to the Convention

27. *Background:* At SBI 24, some Parties proposed that, in accordance with Article 10, paragraph 2, of the Convention, the SBI consider the information communicated by non-Annex I Parties in all of their NCs.<sup>22</sup>

28. *Action:* The SBI will be invited to provide guidance on how to further develop the process for considering the information contained in NCs from non-Annex I Parties, taking into consideration the parts of decision 2/CP.17 on biennial update reports (BURs) and international consultation and analysis.

(b) Work of the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention

29. *Background:* COP 19 decided to continue the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention (CGE) for a period of five years, from 2014 to 2018.<sup>23</sup> It agreed on revised terms of reference for the group.<sup>24</sup> The CGE will submit a progress report on its work for consideration at SBI 41.<sup>25</sup>

30. *Action:* The SBI will be invited to consider the progress reports contained in the documents prepared for the session and provide guidance, as appropriate, to the CGE.

<i>FCCC/SBI/2014/17</i>	<i>Progress report on the work of the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention. Note by the secretariat</i>
<i>FCCC/SBI/2014/18</i>	<i>Progress report on the work of the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention: report on the regional training workshops on the preparation of biennial update reports from Parties not included in Annex I to the Convention. Note by the secretariat</i>

<sup>22</sup> FCCC/SBI/2006/11, paragraph 32.

<sup>23</sup> Decision 19/CP.19, paragraph 1.

<sup>24</sup> See annex to decision 19/CP.19 and document FCCC/CP/2013/10, paragraph 131.

<sup>25</sup> Decision 19/CP.19, paragraph 7.

<i>FCCC/SBI/2014/19</i>	<i>Progress report on the work of the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention: report on the workshop on peer review of the materials for the training of the team of technical experts. Note by the secretariat</i>
<i>FCCC/SBI/2014/INF.15</i>	<i>Progress report on the work of the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention: long-term strategy of the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention. Note by the secretariat</i>
<i>FCCC/SBI/2014/INF.16</i>	<i>Progress report on the work of the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention: technical report on problems and constraints, as well as lessons learned and best practices, in the process of and the preparation of national communications and biennial update reports by Parties not included in Annex I to the Convention. Note by the secretariat</i>
<i>Further information</i>	<i>&lt;<a href="http://www.unfccc.int/2608">www.unfccc.int/2608</a>&gt;</i>

(c) Provision of financial and technical support

31. *Background:* The Global Environment Facility (GEF), as an operating entity of the financial mechanism of the Convention, provides financial support for the preparation of NCs and BURs from non-Annex I Parties.

32. The GEF will provide information on its activities relating to the preparation of NCs and BURs by non-Annex I Parties.<sup>26, 27</sup> The GEF will also provide, in its report to COP 20, information on the funding available to non-Annex I Parties under its latest replenishment for their preparation of NCs and BURs, and the total amount of funding available in its climate change focal area.<sup>28</sup>

33. The secretariat will present a report on the regional hands-on training workshops held in 2013–2014 on the use of the national GHG inventory software for non-Annex I Parties.<sup>29</sup>

34. *Action:* The SBI will be invited to consider the information contained in the documents prepared for the session and to make recommendations, as appropriate, to the GEF.

<i>FCCC/SBI/2014/INF.12</i>	<i>Report on the regional hands-on training workshops on the use of the non-Annex I greenhouse gas inventory software. Note by the secretariat</i>
<i>FCCC/SBI/2014/INF.22</i>	<i>Information provided by the Global Environment Facility on its activities relating to the preparation of national communications and biennial update reports. Note by the secretariat</i>

<sup>26</sup> FCCC/SBI/2013/20, paragraph 33.

<sup>27</sup> FCCC/SBI/2014/8, paragraph 26.

<sup>28</sup> FCCC/SBI/2014/8, paragraph 28.

<sup>29</sup> FCCC/SBI/2014/8, paragraph 33.

<i>FCCC/CP/2014/2</i>	<i>Report of the Global Environment Facility to the Conference of the Parties. Note by the secretariat</i>
<i>Further information</i>	<i>&lt;www.unfccc.int/6921&gt;</i>

## 5. Work programme to further the understanding of the diversity of nationally appropriate mitigation actions

35. *Background:* COP 18 established a work programme under the SBI, for 2013–2014, to further the understanding of the diversity of nationally appropriate mitigation actions (NAMAs).<sup>30</sup> It requested the SBI to report on the outcome to COP 20.<sup>31</sup>

36. The secretariat will prepare an update to document FCCC/SBI/2014/INF.10 as an input to an exchange of views by Parties on updated information on NAMAs and support for them in the NAMA registry, including the extent of matching of NAMAs with support.<sup>32</sup>

37. *Action:* The work programme will be concluded at SBI 41. The SBI will be invited to prepare conclusions on the process of furthering the understanding of the diversity of NAMAs, in accordance with SBI 40 conclusions on this matter, and to report to COP 20 on the outcomes of this process.<sup>33</sup>

<i>FCCC/SBI/2014/INF.11</i>	<i>Report on the second workshop to further the understanding of the diversity of nationally appropriate mitigation actions. Note by the secretariat</i>
<i>FCCC/SBI/2014/INF.24</i>	<i>The extent of the matching of nationally appropriate mitigation actions with financial, technical and capacity-building support in the registry of nationally appropriate mitigation actions. Note by the secretariat</i>
<i>Further information</i>	<i>&lt;www.unfccc.int/7728&gt;</i>

## 6. Matters relating to the mechanisms under the Kyoto Protocol

### (a) Review of the modalities and procedures for the clean development mechanism

38. *Background:* CMP 1 adopted the modalities and procedures for the clean development mechanism (CDM). SBI 39 initiated its consideration of possible changes to the CDM modalities and procedures<sup>34</sup> and agreed to continue it at SBI 40 on the basis of a consolidated but non-exhaustive list<sup>35</sup> of suggested changes it had identified.<sup>36</sup>

<sup>30</sup> Decision 1/CP.18, paragraph 19.

<sup>31</sup> Decision 1/CP.18, paragraph 21.

<sup>32</sup> FCCC/SBI/2014/8, paragraph 42.

<sup>33</sup> FCCC/SBI/2014/8, paragraph 43.

<sup>34</sup> Decision 5/CMP.8.

<sup>35</sup> Contained in a note prepared by the co-chairs of this agenda item and available at <<http://unfccc.int/7871.php>> under agenda item 7(a).

<sup>36</sup> FCCC/SBI/2013/20, paragraph 66.

39. Consultations at SBI 40 did not result in any conclusions. In accordance with rule 16 of the draft rules of procedure being applied, this matter is included on the provisional agenda for SBI 41. The co-chairs of this agenda item published, at their own responsibility, a revised consolidated list of possible changes to the CDM modalities and procedures reflecting the considerations at SBI 40, while recognizing that the list requires further consideration by Parties before they can agree on changes to be reflected in the revised CDM modalities and procedures.<sup>37</sup>

40. *Action:* The SBI will be invited to conclude its work on this matter and to prepare a draft decision for consideration and adoption at CMP 10.

<i>Further information</i>	<a href="http://www.unfccc.int/1673"> &lt;www.unfccc.int/1673&gt;</a>
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(b) Review of the joint implementation guidelines

41. *Background:* CMP 1 adopted the guidelines for the implementation of Article 6 of the Kyoto Protocol (joint implementation (JI)).<sup>38</sup> SBI 39 initiated the review of these guidelines<sup>39</sup> and agreed to continue it at SBI 40.<sup>40</sup>

42. SBI 40 agreed to continue its consideration of this matter at SBI 41 on the basis of the draft decision text proposed by the co-facilitators of the informal consultations on this agenda item and contained in the annex to document FCCC/SBI/2014/L.11.

43. *Action:* The SBI will be invited to conclude its review of the JI guidelines and prepare a draft decision for consideration and adoption at CMP 10.

<i>Further information</i>	<a href="http://www.unfccc.int/1673"> &lt;www.unfccc.int/1673&gt;</a>
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(c) Modalities for expediting the continued issuance, transfer and acquisition of joint implementation emission reduction units

44. *Background:* Under the current guidance,<sup>41</sup> an Annex I Party with commitments inscribed in Annex B to the Kyoto Protocol may issue, transfer and acquire emission reduction units (ERUs) under Article 6 of the Kyoto Protocol only after its assigned amount has been calculated and recorded, and its assigned amount units and removal units have been issued. SBI 39 initiated its consideration of the modalities for expediting the continued issuance, transfer and acquisition of ERUs under Article 6 of the Kyoto Protocol for the second commitment period.<sup>42</sup>

45. SBI 40 continued its consideration of this matter and agreed to continue its work at SBI 41 on the basis of the draft decision text proposed by the co-facilitators of the informal consultations on this agenda item and contained in the annex to document FCCC/SBI/2014/L.9.<sup>43</sup> To further inform this consideration at SBI 41, the secretariat will prepare a technical paper on any technical implications for the processes and systems under the Kyoto Protocol.<sup>44</sup>

<sup>37</sup>  [<www.unfccc.int/1673>](http://www.unfccc.int/1673).

<sup>38</sup> Decision 9/CMP.1.

<sup>39</sup> Decision 6/CMP.8.

<sup>40</sup> FCCC/SBI/2013/20, paragraph 72.

<sup>41</sup> Decision 9/CMP.1, annex.

<sup>42</sup> Decision 1/CMP.8, paragraph 16.

<sup>43</sup> FCCC/SBI/2014/8, paragraph 61.

<sup>44</sup> FCCC/SBI/2014/8, paragraph 62.

46. *Action:* The SBI will be invited to conclude its consideration of this matter and prepare a draft decision for consideration and adoption at CMP 10.

<i>FCCC/TP/2014/4</i>	<i>Technical paper on any implications for the processes and systems under the Kyoto Protocol</i>
<i>Further information</i>	<i>&lt;www.unfccc.int/1673&gt;</i>

(d) Procedures, mechanisms and institutional arrangements for appeals against decisions of the Executive Board of the clean development mechanism

47. *Background:* CMP 6 requested<sup>45</sup> the SBI to make recommendations for consideration and adoption at CMP 7 on procedures, mechanisms and institutional arrangements under the CMP to allow for appeals against decisions of the CDM Executive Board, taking into account the recommendations of the Executive Board contained in annex II to its annual report. The SBI has been considering this item since SBI 34 without reaching an agreement on this matter.

48. SBI 40 agreed to continue its consideration of this matter on the basis of, inter alia, the co-facilitators' draft text contained in document FCCC/SBI/2012/33/Add.1.<sup>46</sup>

49. *Action:* The SBI will be invited to conclude its consideration and prepare a draft decision for consideration and adoption at CMP 10.

<i>Further information</i>	<i>&lt;http://cdm.unfccc.int&gt;</i>
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(e) Report of the administrator of the international transaction log under the Kyoto Protocol

50. *Background:* CMP 1 requested the SBI to consider annual reports of the international transaction log (ITL) administrator, with a view to requesting the CMP to provide guidance in relation to the operation of registry systems.<sup>47</sup>

51. *Action:* The SBI will be invited to take note of the 2014 report of the ITL administrator.

<i>FCCC/SBI/2014/INF.18</i>	<i>Annual report of the administrator of the international transaction log under the Kyoto Protocol. Note by the secretariat</i>
<i>Further information</i>	<i>&lt;www.unfccc.int/4065&gt;</i>

## 7. Matters relating to the least developed countries

52. *Background:* SBI 40 welcomed the work programme of the Least Developed Countries Expert Group (LEG) for 2014–2015.<sup>48</sup> The 26<sup>th</sup> meeting of the LEG took place in Bonn, Germany, from 4 to 7 August 2014. The LEG will launch regional training workshops on national adaptation plans (NAPs) for the least developed countries, starting with the Pacific region in November 2014, as part of its work programme.

<sup>45</sup> Decision 3/CMP.6, paragraph 18.

<sup>46</sup> FCCC/SBI/2014/8, paragraph 67.

<sup>47</sup> Decision 12/CMP.1, paragraph 11.

<sup>48</sup> FCCC/SBI/2014/8, paragraph 84.

53. *Action:* The SBI will be invited to review progress on the work of the LEG and provide further guidance, as appropriate.

<i>FCCC/SBI/2014/13</i>	<i>Report on the 26<sup>th</sup> meeting of the Least Developed Countries Expert Group. Note by the secretariat</i>
<i>Further information</i>	<i>&lt;www.unfccc.int/7504&gt;, &lt;www.unfccc.int/7568&gt; and &lt;www.unfccc.int/8425&gt;</i>

## 8. Report of the Adaptation Committee

54. *Background:* COP 19 encouraged the Adaptation Committee to continue its work on providing technical support and guidance to Parties, in particular in the area of NAPs, and to seek further coherence and synergy with other relevant bodies and programmes under the Convention in implementing its workplan.<sup>49</sup>

55. SBI 40 and SBSTA 40 invited the Adaptation Committee to undertake a number of activities in collaboration with other related processes under the Convention (i.e. the LEG, NAPs and the Nairobi work programme on impacts, vulnerability and adaptation to climate change). Information on the progress made on these activities and related recommendations are contained in the report of the Adaptation Committee.<sup>50</sup>

56. *Action:* The SBI and the SBSTA will be invited to consider the report of the Adaptation Committee and recommend draft conclusions or a draft decision for consideration and adoption at COP 20.

<i>FCCC/SB/2014/2</i>	<i>Report of the Adaptation Committee</i>
<i>Further information</i>	<i>&lt;www.unfccc.int/6053&gt;</i>

## 9. National adaptation plans

57. *Background:* SBI 40 considered information from Parties and relevant organizations on their experiences with the application of the initial guidelines for the formulation of NAPs, as well as any other information relevant to the formulation and implementation of NAPs.<sup>51</sup> SBI decided to continue its discussion at SBI 41 on the basis of the information paper on experiences, good practices, lessons learned, gaps and needs in the process to formulate and implement NAPs,<sup>52</sup> submissions from Parties and relevant organizations,<sup>53</sup> and the notes contained in the annex to document FCCC/SBI/2014/L.19.

58. The LEG and the Adaptation Committee will report on their work in support to the NAP process.<sup>54</sup> The secretariat will prepare an information paper on the NAP process.<sup>55</sup>

<sup>49</sup> Decision 16/CP.19, paragraph 3.

<sup>50</sup> FCCC/SB/2014/2.

<sup>51</sup> FCCC/SBI/2013/9, FCCC/SBI/2014/MISC.1 and FCCC/SBI/2013/MISC.2 and Add.1. Further relevant submissions are available at <www.unfccc.int/5900> under SBI 40 and the heading “National adaptation plans”, <www.unfccc.int/8016> under the heading “Guidelines for the formulation of national adaptation plans” and <www.unfccc.int/7481> under the heading “National adaptation plans”.

<sup>52</sup> FCCC/SBI/2014/8, paragraph 107.

<sup>53</sup> FCCC/SBI/2014/8, paragraphs 93, 103 and 104.

<sup>54</sup> FCCC/SBI/2014/8, paragraphs 102 and 106–108.

<sup>55</sup> FCCC/SBI/2012/33, paragraph 89.

59. *Action:* The SBI will be invited to continue its consideration of the matters referred to in paragraph 57 above and to consider the matters referred to in paragraph 58 above and recommend a draft decision for consideration and adoption at COP 20.

<i>FCCC/SBI/2014/13</i>	<i>Report on the 26<sup>th</sup> meeting of the Least Developed Countries Expert Group. Note by the secretariat</i>
<i>FCCC/SBI/2014/INF.14</i>	<i>Information paper on experiences, good practices, lessons learned, gaps and needs in the process to formulate and implement national adaptation plans</i>
<i>FCCC/SBI/2014/INF.15</i>	<i>Information paper on the national adaptation plan process. Note by the secretariat</i>
<i>FCCC/SB/2014/2</i>	<i>Report of the Adaptation Committee</i>
<i>FCCC/CP/2014/2</i>	<i>Report of the Global Environment Facility to the Conference of the Parties. Note by the secretariat</i>
<i>Further information</i>	<i>&lt;www.unfccc.int/7500&gt; and &lt;www.unfccc.int/7279&gt;</i>

## 10. Warsaw International Mechanism for Loss and Damage associated with Climate Change Impacts

60. *Background:* COP 19 established the Warsaw International Mechanism for Loss and Damage associated with Climate Change Impacts.<sup>56</sup> It also established an Executive Committee to guide the implementation of the functions of the Warsaw International Mechanism,<sup>57</sup> and requested the Committee:

(a) To report annually to the COP through the SBI and the SBSTA and make recommendations;<sup>58</sup>

(b) To develop its initial two-year workplan for the implementation of the functions outlined in decision 2/CP.19, paragraph 5, for consideration at SBI 41 and SBSTA 41.<sup>59</sup>

61. SBI 40 and SBSTA 40 initiated their consideration of the composition of, and procedures for, the Executive Committee, and concluded that they would continue their consideration of this matter at SBI 41 and SBSTA 41, taking into account the elements reflected in the draft decision contained in the annex to document FCCC/SB/2014/L.4.<sup>60</sup>

62. *Action:* The SBI and the SBSTA will be invited to consider the initial two-year workplan and the composition of, and procedures for, the Executive Committee and recommend a draft decision for consideration and adoption at COP 20 with a view to the COP finalizing the modalities for the organization and governance of the Executive Committee.

<sup>56</sup> Decision 2/CP.19, paragraph 1.

<sup>57</sup> Decision 2/CP.19, paragraph 2.

<sup>58</sup> Decision 2/CP.19, paragraph 3.

<sup>59</sup> Decision 2/CP.19, paragraph 9. The Executive Committee held its initial meeting from 25 to 28 March 2014 and the resumed initial meeting from 17 to 18 September 2014, both in Bonn. See <www.unfccc.int/8107> and <www.unfccc.int/8464>.

<sup>60</sup> FCCC/SBI/2014/8, paragraphs 114 and 115.

<i>FCCC/SB/2014/4</i>	<i>Report of the Executive Committee of the Warsaw International Mechanism for Loss and Damage associated with Climate Change Impacts</i>
<i>Further information</i>	<i>&lt;www.unfccc.int/7545&gt; and &lt;www.unfccc.int/6056&gt;</i>

## 11. Matters relating to finance

### (a) Second review of the Adaptation Fund

63. *Background:* SBI 40 considered the second review of the Adaptation Fund.<sup>61</sup> Parties, observer organizations and other interested international organizations, stakeholders and non-governmental organizations involved in the activities of the Adaptation Fund, as well as multinational, regional and national implementing entities accredited by the Adaptation Fund Board, were invited to submit further views on the second review of the Adaptation Fund.<sup>62, 63</sup>

64. The secretariat will prepare, in collaboration with the Adaptation Fund Board secretariat, a technical paper on the second review of the Adaptation Fund that will take into account the views expressed by Parties at SBI 40 and the written submissions provided before and at SBI 40.<sup>64</sup>

65. *Action:* The SBI will be invited to complete its consideration of the second review of the Adaptation Fund and recommend a draft decision on this matter for consideration and adoption at CMP 10.

<i>FCCC/TP/2014/7</i>	<i>Technical paper on the second review of the Adaptation Fund</i>
<i>FCCC/SBI/2014/MISC.4</i>	<i>Views on the second review of the Adaptation Fund. Submissions from Parties</i>
<i>Further information</i>	<i>&lt;www.unfccc.int/3659&gt;</i>

### (b) Further guidance to the Least Developed Countries Fund

66. *Background:* The Least Developed Countries Fund (LDCF) was established to support the LDC work programme and address the special needs of the LDCs under the Convention.

67. The COP, by decision 10/CP.18, provided further guidance to the GEF as an operating entity of the financial mechanism of the Convention entrusted with the operation of the LDCF, and requested the GEF to include, in its annual report to the COP, information on specific actions it has undertaken to implement decision 10/CP.18.<sup>65</sup>

68. Parties and relevant organizations were invited to submit information on their experiences with the implementation of the remaining elements of the LDC work

<sup>61</sup> Decision 2/CMP.9, annex.

<sup>62</sup> FCCC/SBI/2014/8, paragraph 125.

<sup>63</sup> As soon as submissions are received, they are made available on the submission portal at <www.unfccc.int/5900>.

<sup>64</sup> FCCC/SBI/2014/8, paragraph 127.

<sup>65</sup> Decision 10/CP.18, paragraph 6.

programme,<sup>66</sup> taking into consideration the options contained in the report on the 21<sup>st</sup> meeting of the LEG.<sup>67</sup>

69. The secretariat will prepare a synthesis report on the progress made in the implementation of the remaining elements of the LDC work programme, taking into account the submissions referred to in paragraph 68 above and other sources of information detailed in decision 10/CP.18, paragraph 9.

70. *Action:* The SBI will be invited to consider the progress made in the implementation of the remaining elements of the LDC work programme, including the updating and implementation of national adaptation programmes of action, with a view to COP 20 determining appropriate further guidance to be provided to the LDCF.

<i>FCCC/SBI/2014/INF.17</i>	<i>Synthesis report on the progress made in the implementation of the remaining elements of the least developed countries work programme. Note by the secretariat</i>
<i>FCCC/SBI/2014/MISC.3</i>	<i>Information on experiences with the implementation of the remaining elements of the least developed countries work programme. Submissions by Parties and relevant organizations</i>
<i>FCCC/CP/2014/2</i>	<i>Report of the Global Environment Facility to the Conference of the Parties. Note by the secretariat</i>
<i>Further information</i>	<i>&lt;www.unfccc.int/4723&gt;</i>

## 12. Development and transfer of technologies and implementation of the Technology Mechanism

### (a) Joint annual report of the Technology Executive Committee and the Climate Technology Centre and Network

71. *Background:* COP 16 decided that the Technology Executive Committee (TEC) and the Climate Technology Centre and Network (CTCN) shall report to the COP, through the SBI and the SBSTA, on their respective activities and the performance of their respective functions.<sup>68</sup>

72. *Action:* The SBI and the SBSTA will be invited to consider the joint annual report and recommend a draft decision for consideration and adoption at COP 20.

<i>FCCC/SB/2014/3</i>	<i>Joint annual report of the Technology Executive Committee and the Climate Technology Centre and Network for 2014</i>
<i>Further information</i>	<i>&lt;tclear.unfccc.int&gt;</i>

<sup>66</sup> Decision 10/CP.18, paragraph 8.

<sup>67</sup> FCCC/SBI/2012/7.

<sup>68</sup> Decision 1/CP.16, paragraph 126.

(b) Poznan strategic programme on technology transfer

73. *Background:* The GEF has been providing reports on the progress made in carrying out its activities under the Poznan strategic programme on technology transfer, for consideration at SBI sessions, for the duration of the programme.<sup>69</sup>

74. The GEF will continue to consult with the Advisory Board of the CTCN on the support that the GEF will provide for the implementation of the five-year programme of work of the CTCN and will report on its findings.<sup>70</sup>

75. The CTCN will include information on the support that it has received from the GEF and other relevant organizations in the 2014 joint annual report of the TEC and the CTCN.<sup>71</sup>

76. SBI 40 reiterated the need for the GEF to align the further implementation of the element of the Poznan strategic programme on support for climate technology centres and a climate technology network with the operationalization and activities of the CTCN, and to consult with the Advisory Board of the CTCN on this matter and report on its findings for consideration at SBI 41.<sup>72</sup>

77. The TEC will evaluate the Poznan strategic programme with the aim of enhancing the effectiveness of the Technology Mechanism and will report back to COP 20 through SBI 41.<sup>73</sup>

78. *Action:* The SBI will be invited to consider the relevant information in the report of the GEF and in the joint annual report of the TEC and the CTCN with a view to determining further action.

<i>FCCC/CP/2014/2 and Add.1</i>	<i>Report of the Global Environment Facility to the Conference of the Parties. Note by the secretariat</i>
<i>FCCC/SB/2014/3</i>	<i>Joint annual report of the Technology Executive Committee and the Climate Technology Centre and Network for 2014</i>
<i>Further information</i>	<i>&lt;<a href="http://www.thegef.org/gef/TT_poznan_strategic_program">http://www.thegef.org/gef/TT_poznan_strategic_program</a>&gt;</i>

**13. Capacity-building**(a) Capacity-building under the Convention

79. *Background:* The COP invited Parties to submit information annually on the activities they have undertaken pursuant to decisions 2/CP.7 and 2/CP.10.<sup>74</sup> The secretariat has been providing annual synthesis reports on activities to implement the framework for capacity-building in developing countries<sup>75</sup> and summary reports of meetings of the Durban Forum on capacity-building.<sup>76</sup> The 3<sup>rd</sup> meeting of the Durban Forum was held during SBI 40.

<sup>69</sup> FCCC/SBI/2011/7, paragraph 137.

<sup>70</sup> FCCC/SBI/2014/8, paragraph 139.

<sup>71</sup> FCCC/SBI/2014/8, paragraph 140.

<sup>72</sup> FCCC/SBI/2014/8, paragraph 141.

<sup>73</sup> FCCC/SBI/2014/8, paragraph 142.

<sup>74</sup> Decision 4/CP.12, paragraph 1(a).

<sup>75</sup> Decisions 2/CP.7, paragraph 9(c), 4/CP.12, paragraph 1(c), and 1/CP.18, paragraph 78.

<sup>76</sup> Decision 2/CP.17, paragraph 147.

80. The SBI has been considering this item since SBI 37. SBI 40 agreed to continue its consideration at SBI 41 on the basis of the draft decision text contained in the annex to document FCCC/SBI/2014/L.13 and documents referred to in paragraph 79 above.<sup>77</sup>

81. *Action:* The SBI will be invited to conclude its consideration of this matter and to recommend a draft decision, including on potential ways to further enhance the implementation of capacity-building at the national level, for consideration and adoption at COP 20.

<i>FCCC/SBI/2014/14</i>	<i>Summary report on the 3<sup>rd</sup> meeting of the Durban Forum. Note by the secretariat</i>
<i>Further information</i>	<i>&lt;www.unfccc.int/1033&gt; and &lt;www.unfccc.int/7060&gt;</i>

(b) Capacity-building under the Kyoto Protocol

82. *Background:* The CMP invited Parties, relevant multilateral and bilateral agencies and the private sector to submit information annually on activities undertaken to implement decision 29/CMP.1.<sup>78</sup> The secretariat has been providing annual synthesis reports based on the information referred to above and information on the activities of the CDM Executive Board relating to the regional distribution of CDM project activities and related capacity-building<sup>79</sup> and summary reports on meetings of the Durban Forum.<sup>80</sup> The 3<sup>rd</sup> meeting of the Durban Forum was held during SBI 40.

83. The SBI initiated its consideration of capacity-building for developing countries under the Kyoto Protocol at SBI 39, continued it at SBI 40 and agreed to further continue its consideration at SBI 41 on the basis of a draft decision contained in the annex to document FCCC/SBI/2013/L.18/Rev.1 and documents referred to in paragraph 82 above.<sup>81</sup>

84. *Action:* The SBI will be invited to conclude its consideration of this matter and to recommend a draft decision for consideration and adoption at CMP 10.

<i>FCCC/SBI/2014/14</i>	<i>Summary report on the 3<sup>rd</sup> meeting of the Durban Forum. Note by the secretariat</i>
<i>Further information</i>	<i>&lt;www.unfccc.int/1033&gt; and &lt;www.unfccc.int/7060&gt;</i>

## 14. Impact of the implementation of response measures

(a) Forum and work programme

85. *Background:* COP 17 launched a work programme on the impact of the implementation of response measures under the subsidiary bodies.<sup>82</sup> It established a forum to implement the work programme and to provide a platform allowing Parties to share information, experiences, case studies, best practices and views.<sup>83</sup>

<sup>77</sup> Including documents FCCC/SBI/2014/2 and Add.1, and FCCC/SBI/2014/MISC.2 and Add.1 and 2.

<sup>78</sup> Decision 6/CMP.2, paragraph 1(a) and (b).

<sup>79</sup> Decision 6/CMP.2, paragraph 1(c).

<sup>80</sup> Decision 2/CP.17, paragraph 147.

<sup>81</sup> Including documents FCCC/SBI/2014/2 and Add.1, and FCCC/SBI/2014/MISC.2 and Add.1 and 2.

<sup>82</sup> Decision 8/CP.17, paragraph 1.

<sup>83</sup> Decision 8/CP.17, paragraph 3.

86. SBI 39 and SBSTA 39 initiated the review of the work of the forum<sup>84</sup> by considering all presentations, statements made by Parties, organizations and experts, and reports<sup>85</sup> on the meetings of the forum. SBI 40 and SBSTA 40 welcomed the report<sup>86</sup> on the in-forum workshop on area (b)<sup>87</sup> of the work programme and noted that the compilation of the submissions<sup>88</sup> received from Parties on the review of the work of the forum concluded the review.<sup>89</sup>

87. SBI 40 and SBSTA 40 also took note of the submissions made by Parties of proposals regarding a draft decision to take the work forward<sup>90</sup> and agreed to forward them for consideration to SBI 41 and SBSTA 41, so that the latter may provide recommendations for consideration at COP 20.

88. The SBI and the SBSTA invited Parties, experts, practitioners and relevant organizations to submit their views on options to strengthen opportunities for cooperation and collaboration among Parties related to this agenda sub-item.<sup>91</sup> The secretariat will prepare a technical paper on areas of convergence related to areas of cooperation, as well as a synthesis paper, both based on the reports on the work of the forum, the submissions, presentations and statements made and the review of the work of the forum, for consideration at SBI 41 and SBSTA 41, without prejudice to the consideration by the COP referred to in paragraph 87 above.<sup>92</sup>

89. *Action:* The SBI and the SBSTA will be invited to consider how to take this item forward with a view to providing recommendations for consideration and adoption at COP 20.

<i>FCCC/SB/2014/INF.4</i>	<i>Synthesis paper on the work of the forum on the impact of the implementation of response measures. Note by the secretariat</i>
<i>FCCC/TP/2014/12</i>	<i>Areas of convergence related to areas of cooperation. Technical paper</i>
<i>Further information</i>	<i>&lt;www.unfccc.int/4908&gt;</i>

(b) Matters relating to Article 3, paragraph 14, of the Kyoto Protocol

90. *Background:* SBI 40 agreed to consider this matter jointly with the SBI and SBSTA agenda sub-item “Forum and work programme” in a joint SBI/SBSTA forum. SBI 40 also agreed to continue consultations at SBI 41 on how to take up this matter.<sup>93</sup>

91. *Action:* The SBI will be invited to agree on how to take up this matter.

<sup>84</sup> FCCC/SBI/2012/33, paragraph 106.

<sup>85</sup> Reports are contained in documents FCCC/SB/2013/INF.2, FCCC/SB/2013/INF.3, FCCC/SB/2013/INF.4, FCCC/SB/2013/INF.8, FCCC/SB/2013/INF.9, FCCC/SB/2013/INF.10 and FCCC/SB/2013/INF.11.

<sup>86</sup> FCCC/SB/2014/INF.1.

<sup>87</sup> Cooperation on response strategies.

<sup>88</sup> The views on the review are compiled in annex I to document FCCC/SB/2014/L.2.

<sup>89</sup> FCCC/SBI/2014/8, paragraph 178.

<sup>90</sup> The submissions are contained in annex II to document FCCC/SB/2014/L.2.

<sup>91</sup> As soon as submissions are received, they are made available on the submission portal at <www.unfccc.int/5900>.

<sup>92</sup> FCCC/SBI/2014/8, paragraph 180.

<sup>93</sup> FCCC/SBI/2014/8, paragraph 184.

(c) Progress on the implementation of decision 1/CP.10

92. *Background:* SBI 40 agreed to consider this matter jointly with the SBI and SBSTA agenda sub-item “Forum and work programme” in a joint SBI/SBSTA forum. SBI 40 agreed to continue consultations at SBI 41 on how to take up this matter.<sup>94</sup>

93. *Action:* The SBI will be invited to agree on how to take up this matter.

**15. The 2013–2015 review**

94. *Background:* The COP decided to periodically review the adequacy of the long-term global goal and overall progress made towards achieving it,<sup>95</sup> with the assistance of the SBSTA and the SBI,<sup>96</sup> supported by the structured expert dialogue (SED).<sup>97</sup>

95. The COP requested the SBSTA and the SBI to report to it on their considerations and findings and decided to address those considerations and provide further guidance.<sup>98</sup> It also requested the co-facilitators of the SED to report to COP 20, through the subsidiary bodies, on the work conducted under the dialogue.<sup>99</sup>

96. Parties will submit their views on additional inputs to the SED, on how to conclude the 2013–2015 review and on the final reporting of these subsidiary bodies to the COP, and the secretariat will make those submissions available on the UNFCCC website.<sup>100</sup>

97. The secretariat will prepare a note<sup>101</sup> containing an indicative, descriptive identification of what information, as listed in decision 2/CP.17, paragraph 161(b), will be available for consideration by the SED and by when.<sup>102</sup>

98. The co-facilitators of the SED will organize the 4<sup>th</sup> meeting of the SED in conjunction with SBI 41 and SBSTA 41 in order to continue to assess the adequacy of the long-term global goal and the progress made towards achieving it on the basis of the Synthesis Report of the Fifth Assessment Report of the Intergovernmental Panel on Climate Change and of information from the sources referred to in decision 2/CP.17, paragraph 161(b–d).<sup>103</sup>

99. *Action:* The SBSTA and the SBI will be invited to consider this matter and to take further steps, including providing further guidance to the SED and concluding the review and final reporting to the COP.

<i>FCCC/SB/2014/1</i>	<i>Report on the structured expert dialogue on the 2013–2015 review for 2014</i>
<i>FCCC/SB/2014/INF.3</i>	<i>National information available for consideration by the structured expert dialogue. Note by the secretariat</i>
<i>Further information</i>	<i>&lt;www.unfccc.int/6998&gt; and &lt;www.unfccc.int/7521&gt;</i>

<sup>94</sup> FCCC/SBI/2014/8, paragraph 186.

<sup>95</sup> Decision 1/CP.16, paragraph 138, and decision 1/CP.18, paragraph 79.

<sup>96</sup> Decision 2/CP.17, paragraph 162.

<sup>97</sup> Decision 1/CP.18, paragraphs 85 and 86.

<sup>98</sup> Decision 2/CP.17, paragraph 166.

<sup>99</sup> Decision 1/CP.18, paragraph 87(c).

<sup>100</sup> FCCC/SBI/2014/8, paragraph 197. As soon as submissions are received, they are made available on the submission portal at <www.unfccc.int/5900>.

<sup>101</sup> The note will be available by 1 October 2014.

<sup>102</sup> FCCC/SBI/2014/8, paragraph 195.

<sup>103</sup> FCCC/SBI/2014/8, paragraph 194.

## 16. Gender and climate change

100. *Background:* To enable the tracking of progress made towards the goal of gender balance adopted by decision 23/CP.18, the secretariat will report information on the gender composition of bodies established under the Convention and the Kyoto Protocol and of delegations to UNFCCC sessions.<sup>104</sup>

101. SBI 39 agreed to continue to work under this item at SBI 41 to further facilitate the ongoing implementation of decision 23/CP.18, drawing on submissions made by Parties and admitted observer organizations on options and ways to advance the gender balance goal.<sup>105</sup> information provided at the in-session workshop on gender, climate change and the UNFCCC, held on 12 November 2013 in Warsaw, Poland, and the annex to document FCCC/SBI/2013/L.16.<sup>106</sup>

102. *Action:* The SBI will be invited to consider ways to further facilitate the ongoing implementation of decision 23/CP.18, and to provide guidance, as appropriate.

<i>FCCC/CP/2014/7</i>	<i>Report on gender composition. Note by the secretariat</i>
<i>Further information</i>	<i>&lt;www.unfccc.int/7516&gt;</i>

## 17. Arrangements for intergovernmental meetings

103. *Background:* SBI 40 welcomed the views expressed by Parties on ways to improve the organization of the intergovernmental process and affirmed the need to consider this matter with a sense of urgency.<sup>107</sup> The secretariat will prepare two documents:

(a) One outlining various options relating to the frequency and organization of the sessions of the COP, the CMP and their subsidiary bodies;<sup>108</sup>

(b) One on adjusting the timing of the election of the President, including options for strengthened coordination between the President and incoming Presidencies to ensure smooth transition.<sup>109</sup>

104. *Action:* The SBI will be invited to consider the information contained in the above-mentioned documents, and take any action it deems appropriate.

<i>FCCC/SBI/2014/11</i>	<i>Frequency and organization of sessions. Note by the secretariat</i>
<i>FCCC/SBI/2014/12</i>	<i>Adjusting the timing of the election of the President. Note by the secretariat</i>
<i>Further information</i>	<i>&lt;www.unfccc.int/8166&gt; and &lt;www.unfccc.int/6558&gt;</i>

<sup>104</sup> Decision 23/CP.18.

<sup>105</sup> FCCC/CP/2013/MISC.2 and Add.1.

<sup>106</sup> FCCC/SBI/2013/20, paragraph 208.

<sup>107</sup> FCCC/SBI/2014/8, paragraph 215.

<sup>108</sup> FCCC/SBI/2014/8, paragraph 216(a).

<sup>109</sup> FCCC/SBI/2014/8, paragraph 216(b).

## 18. Administrative, financial and institutional matters

### (a) Audited financial statements for the biennium 2012-2013

105. *Background:* The financial procedures of the Convention require that a final audited statement of accounts for each full financial period be provided to the COP after the accounts for the financial period are closed. The financial statements for the biennium 2012–2013 have been audited by the United Nations Board of Auditors.

106. *Action:* The SBI will be invited to take note of the report of the United Nations Board of Auditors and its addenda and to recommend draft decisions on this matter to be considered and adopted at COP 20 and CMP 10.

<i>FCCC/SBI/2014/16</i>	<i>Audited financial statements for the biennium 2012–2013. Note by the Executive Secretary</i>
<i>FCCC/SBI/2014/16/Add.1</i>	<i>Report of the United Nations Board of Auditors. Note by the Executive Secretary. Addendum. Comments by the secretariat</i>
<i>FCCC/SBI/2014/16/Add.2</i>	<i>Report of the United Nations Board of Auditors. Note by the Executive Secretary. Addendum. Audited financial statements for the biennium 2012–2013</i>
<i>Further information</i>	<i>&lt;<a href="http://www.unfccc.int/1065">www.unfccc.int/1065</a>&gt;</i>

### (b) Budget performance for the biennium 2014–2015

107. *Background:* The Executive Secretary will report on income and budget performance and propose any adjustments that might be needed in the programme budget for the biennium 2014–2015.<sup>110</sup>

108. *Action:* The SBI will be invited to take note of the information presented in the documents prepared for the session and any additional relevant oral information provided by the Executive Secretary, and to decide on actions that may need to be included in draft decisions on administrative and financial matters to be recommended for adoption at COP 20 and CMP 10.

<i>FCCC/SBI/2014/10</i>	<i>Budget performance for the biennium 2014–2015 as at 30 June 2014. Note by the Executive Secretary</i>
<i>FCCC/SBI/2014/INF.23</i>	<i>Status of contributions as at 15 November 2014. Note by the secretariat</i>
<i>Further information</i>	<i>&lt;<a href="http://www.unfccc.int/1065">www.unfccc.int/1065</a>&gt;</i>

## 19. Reports on other activities

### (a) Report on the expert meeting on an information hub for information on the results of the activities referred to in decision 1/CP.16, paragraph 70, and results-based payments

109. *Background:* COP 19 decided to establish an information hub on the web platform on the UNFCCC website<sup>111</sup> as a means to publish information on the results of the activities

<sup>110</sup> Decision 27/CP.19, paragraph 23.

<sup>111</sup> <[www.unfccc.int/redd](http://www.unfccc.int/redd)>.

referred to in decision 1/CP.16, paragraph 70,<sup>112</sup> and corresponding results-based payments.<sup>113</sup> The secretariat organized an expert meeting on this matter on 2 and 3 September 2014 in Bonn,<sup>114</sup> and is improving and further developing the web platform on the UNFCCC website on which the hub is located.<sup>115</sup>

110. *Action:* The SBI will be invited to take note of the report on the expert meeting, to be prepared by the secretariat. This would enable the secretariat to establish the information hub at the soonest possible time.

<i>FCCC/SBI/2014/INF.13</i>	<i>Report on the expert meeting on an information hub for information on the results of the activities referred to in decision 1/CP.16, paragraph 70, and results-based payments. Note by the secretariat</i>
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<i>Further information</i>	<i>&lt;www.unfccc.int/redd&gt;, &lt;www.unfccc.int/8180&gt; and &lt;www.unfccc.int/8458&gt;</i>
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(b) Summary report on the 2<sup>nd</sup> Dialogue on Article 6 of the Convention

111. *Background:* COP 18 adopted the Doha work programme on Article 6 of the Convention and established an annual dialogue to enhance work in this area.<sup>116</sup> The 2<sup>nd</sup> Dialogue on Article 6 of the Convention was held during SBI 40 with a focus on public awareness, public participation, public access to information and international cooperation in these areas.

112. *Action:* The SBI will be invited to take note of the summary report on the 2<sup>nd</sup> Dialogue on Article 6 of the Convention, to be prepared by the secretariat.

<i>FCCC/SBI/2014/15</i>	<i>Summary report on the 2<sup>nd</sup> Dialogue on Article 6 of the Convention. Note by the secretariat</i>
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<i>Further information</i>	<i>&lt;www.unfccc.int/2529&gt; and &lt;www.unfccc.int/8210&gt;</i>
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## 20. Other matters

113. Any other matters referred to the SBI at COP 20 or CMP 10, as well as any other matters arising during the session, will be taken up under this agenda item.

## 21. Closure of and report on the session

114. A draft report on the work of the session will be prepared for adoption by the SBI at the end of the session, after which the Chair will declare the session closed.

<sup>112</sup> In decision 1/CP.16, paragraph 70, the COP encouraged developing country Parties to contribute to mitigation actions in the forest sector by undertaking the following activities: reducing emissions from deforestation; reducing emissions from forest degradation; conservation of forest carbon stocks; sustainable management of forests and enhancement of forest carbon stocks (also referred to as REDD-plus).

<sup>113</sup> Decision 9/CP.19, paragraph 9.

<sup>114</sup> Decision 9/CP.19, paragraph 15.

<sup>115</sup> Decision 9/CP.19, paragraph 19.

<sup>116</sup> Decision 15/CP.18.