



缔约方会议  
第二十八届会议  
2023 年 11 月 30 日至 12 月 12 日，  
阿拉伯联合酋长国  
临时议程项目 8(b)  
与资金有关的事项  
与资金问题常设委员会有关的事项

作为《巴黎协定》缔约方会议的《公约》  
缔约方会议  
第五届会议  
2023 年 11 月 30 日至 12 月 12 日，  
阿拉伯联合酋长国  
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## 资金问题常设委员会的报告\*

### 摘要

本报告介绍以下信息：资金问题常设委员会(资委会)2023 年有关适应资金翻倍的工作；正在使用的气候资金定义的分组类型；实现《巴黎协定》第二条第一款第(三)项的途径，包括实施方针和指南选项；资委会公正转型资金论坛；作为资委会职能第二次审查的一部分开展的资委会自评；资金机制经营实体指导意见草案的编写。报告还载有关于资委会与气候公约组成机构在气候公约专题领域下的合作以及资委会第 30、31 和 32 次会议成果的信息。此外，报告附件包括资委会委员名单、资委会 2024 年工作计划以及资委会需在 2024 年发布的三份技术报告的提纲。

\* 本文件因资金问题常设委员会第 32 次会议的时间安排而逾期提交。



## 简称和缩略语

AC		适应委员会
BA	两年期评估	气候资金流动两年期评估和概览
BR		两年期报告
BUR		两年期更新报告
CMA	《协定》/《公约》 缔约方会议	作为《巴黎协定》缔约方会议的《公约》缔约方会议
COP		缔约方会议
CTCN		气候技术中心和网络
ICG	非正式协调小组	《公约》和《巴黎协定》框架内能力建设非正式协调小组
LEG	专家组	最不发达国家专家组
NAP		国家适应计划
NC		国家信息通报
NDC		国家自主贡献
OECD	经合组织	经济合作与发展组织
PCCB	巴黎委员会	巴黎能力建设委员会
REDD+		减少毁林所致排放；减少森林退化所致排放； 养护森林碳储存；可持续森林管理；加强森林碳储存 (第 1/CP.16 号决定，第 70 段)
SBI	履行机构	附属履行机构
SCF	资委会	资金问题常设委员会
UNEP	环境署	联合国环境规划署
WIM	华沙国际机制	气候变化影响相关损失和损害华沙国际机制

## 一. 引言

### A. 任务和背景

1. 资委会编写年度报告以提交缔约方会议<sup>1</sup>。缔约方会议第二十一届会议决定，资委会应按照缔约方会议确定的职能和责任，为《巴黎协定》服务<sup>2</sup>。
2. 缔约方会议第二十七届会议和《协定》/《公约》缔约方会议第四届会议批准<sup>3</sup>了资委会 2023 年工作计划<sup>4</sup>。

### B. 本报告的范围

3. 本报告介绍资委会 2023 年的工作包括举行会议的情况，供缔约方会议和《协定》/《公约》缔约方会议审议。

### C. 缔约方会议和作为《巴黎协定》缔约方会议的《公约》缔约方会议可采取的行动

4. 缔约方会议和《协定》/《公约》缔约方会议不妨审议：
  - (a) 关于适应资金翻倍报告的内容提要(见下文第 15-20 段)<sup>5</sup>；
  - (b) 关于正在使用的气候资金分组定型报告的内容提要(见下文第 21-27 段)<sup>6</sup>；
  - (c) 实现《巴黎协定》第二条第一款第(三)项的途径、包括实施方针和指南选项的意见综述(见下文第 28-34 段)<sup>7</sup>；
  - (d) 2023 年资委会公正过渡资金论坛的总结报告<sup>8</sup> 和下一次论坛的主题(见下文第 35-42 段)；
  - (e) 资委会作为自身职能第二次审查工作的一部分编写的自我评估报告(见下文第 43-46 段)<sup>9</sup>；
  - (f) 资金机制经营实体指导意见草案(见下文第 47-51 段)<sup>10</sup>。
5. 缔约方会议和《协定》/《公约》缔约方会议不妨注意到：

<sup>1</sup> 根据第 2/CP.17 号决定，第 120 段。

<sup>2</sup> 第 1/CP.21 号决定，第 63 段。

<sup>3</sup> 第 14/CP.27 号决定，第 17 段；第 14/CMA.4 号决定，第 1 段。

<sup>4</sup> FCCC/CP/2022/8-FCCC/PA/CMA/2022/7, 附件二。

<sup>5</sup> FCCC/CP/2023/2/Add.1-FCCC/PA/CMA/2023/8/Add.1.

<sup>6</sup> FCCC/CP/2023/2/Add.2-FCCC/PA/CMA/2023/8/Add.2.

<sup>7</sup> FCCC/CP/2023/2/Add.3-FCCC/PA/CMA/2023/8/Add.3.

<sup>8</sup> FCCC/CP/2023/2/Add.4-FCCC/PA/CMA/2023/8/Add.4.

<sup>9</sup> FCCC/CP/2023/2/Add.5-FCCC/PA/CMA/2023/8/Add.5.

<sup>10</sup> FCCC/CP/2023/2/Add.6-FCCC/PA/CMA/2023/8/Add.6.

- (a) 资委会委员名单(见附件一);
- (b) 资委会 2024 年工作计划(见附件二);
- (c) 资委会按规定需在 2024 年发布的三份技术报告的大纲(见附件三至五):
  - (i) 第六次气候资金流动两年期评估和概览;
  - (ii) 关于确定发展中国家缔约方与执行《公约》和《巴黎协定》相关需求的第二份报告;
  - (iii) 关于实现每年共同筹集 1,000 亿美元目标的第二份进展情况报告。

## 二. 资金问题常设委员会的组成和会议

### A. 组成

- 6. 资委会再次选举 Zaheer Fakir(南非)和 Gertraud Wollansky(奥地利)担任资委会共同主席,任期为 2024 年第一次会议。
- 7. 关于委员变动情况,任命 Hyekyoung Jung (大韩民国)取代 Ali Waqas Malik (巴基斯坦), Katarzyna Kowalska (罗马尼亚)取代 Bianca Moldovean(罗马尼亚), Ian Naumkin(俄罗斯联邦)取代 Konstantin Kulikov(俄罗斯联邦), Chandni Raina(印度)取代 Abdelrahman M. Al-Gwaiz (沙特阿拉伯), Saiko Saito (日本)取代 Toru Sugio (日本), Brittany Young (澳大利亚)取代 Fiona Gilbert (澳大利亚)。
- 8. 截至 2023 年 9 月 28 日的资委会委员名单载于附件一。

### B. 会议

- 9. 资委会在 2023 年举行了三次会议:第 30 次会议于 3 月 6 日至 7 日在维也纳举行;第 31 次会议于 7 月 22 日至 23 日在曼谷举行;第 32 次会议于 9 月 26 日至 28 日在日内瓦举行。所有会议都是现场会议,同时允许委员和观察员虚拟参与。资委会第 30 次会议包括全体会议和分组会议,第 31 次会议只举行了一次全体会议,第 32 次会议包括全体会议和分组会议,以更好地适应会议需完成的大量工作。约 180 名来自缔约方、观察员组织(非政府组织、政府间组织、智库和多边开发银行)以及资金机制经营实体的代表参会,其中有 110 人是现场参会。
- 10. 在秘书处的支持下,共为会议编写了 31 份背景文件和报告,得到了资委会的审议。资委会在每次会议上和闭会期间都让利益攸关方参与编写报告。会议文件和录音可在资委会网页上查阅<sup>11</sup>。
- 11. 在第 30 次会议上,资委会<sup>12</sup>:
  - (a) 任命 Mattias Frumerie (瑞典)和 Richard Muyungi (坦桑尼亚联合共和国)为适应资金翻倍报告工作的联合召集人<sup>13</sup>。资委会商定了报告大纲以及完成报告

<sup>11</sup> <https://unfccc.int/scf/scf-meetings-and-documents>.

<sup>12</sup> 见资委会文件 SCF/2023/30/9。

<sup>13</sup> 根据第 1/CMA.4 号决定,第 42 段。

的工作计划和时时间线。会上还商定发出一项呼吁，为报告征集信息和数据，提交截止日期为 2023 年 7 月 31 日<sup>14</sup>；

(b) 任命 Apollonia Miola (欧洲联盟)和 Diann Black-Layne (安提瓜和巴布达)为正在使用的气候资金定义的分组类型报告工作的联合召集人<sup>15</sup>。资委会商定了报告大纲以及完成报告的工作计划和时时间线。资委会同意以指导文件的形式编写报告；

(c) 任命 Kevin Adams(美利坚合众国)和 Chandni Raina(印度)为实现《巴黎协定》第二条第一款第(三)的途径包括实施方针和指南选项工作的联合召集人<sup>16</sup>。资委会商定了关于这一专题的意见综述的大纲，以及完成这一工作的工作计划和时时间线。会上还商定发出一项呼吁，就此事项征求意见，提交截止日期为 2023 年 5 月 31 日<sup>17</sup>；

(d) 任命 Katarzyna Kowalska (罗马尼亚)和 Mohamed Nasr (埃及)为 2023 年资委会公正转型资金论坛的联合召集人<sup>18</sup>。资委会商定了论坛的主要目标和分议题，并审议了关于活动地点和日期的选报；

(e) 任命 Gabriela Blatter (瑞士)和 Mohamed Nasr (埃及)为资委会为第二次职能审查编写的自评报告工作的联合召集人<sup>19</sup>。资委会商定对资委会委员、缔约方和观察员组织进行一次调查，征集对于资委会效率和效果的意见，作为对报告的投入，并收集关于完成报告的时间线的意见；

(f) 任命 Ivan Zambrana Flores (多民族玻利维亚国)为资金机制经营实体指导意见草案工作的联合召集人<sup>20</sup>。Gertraud Wollansky 在闭会期间被任命为另一名联合召集人；

(g) 任命联络人，代表资委会参加《气候公约》其他组成机构在《气候公约》各专题领域的工作<sup>21</sup>；

(h) 与气候资金新的集体量化目标特设工作方案联合主席进行互动，两位联合主席承认该方案下的工作与资委会工作之间存在相互联系，重申他们有意保持和推进与资委会开放的沟通。

12. 在第 31 次会议上，资委会<sup>22</sup>：

<sup>14</sup> [https://unfccc.int/sites/default/files/resource/Call%20for%20inputs\\_x2AF\\_clean.pdf](https://unfccc.int/sites/default/files/resource/Call%20for%20inputs_x2AF_clean.pdf).

<sup>15</sup> 根据第 14/CP.27 号决定，第 11 段。

<sup>16</sup> 根据第 14/CMA.4 号决定，第 4 段。

<sup>17</sup> [https://unfccc.int/sites/default/files/resource/Call%20for%20inputs\\_Art2.1.c\\_SCF\\_v2.pdf](https://unfccc.int/sites/default/files/resource/Call%20for%20inputs_Art2.1.c_SCF_v2.pdf).

<sup>18</sup> 根据第 2/CP.17 号决定，第 121(a)段；第 14/CP.27 号决定，第 15 段。

<sup>19</sup> 根据第 15/CP.27 号决定，附件，第 4(e)段；第 15/CMA.4 号决定。

<sup>20</sup> 根据第 2/CP.17 号决定，第 121(c)段。

<sup>21</sup> 根据第 2/CP.17 号决定，第 121(b)段。详情见本报告第三章 H 节。

<sup>22</sup> 见资委会文件 SCF/2023/31/11。

(a) 商定根据会议期间收到的评论意见，以及会后收到的委员的书面意见，就适应资金翻倍的报告开展进一步工作，以期编写报告的预定稿和内容提要草稿，供资委会第 32 次会议审议和定稿；

(b) 商定根据会议期间收到的评论意见，以及会后收到的委员的书面意见，就关于正在使用的气候资金定义的分组类型的报告开展进一步工作，以期编写报告的预定稿和内容提要草案，供资委会第 32 次会议审议和定稿；

(c) 商定根据会议期间收到的评论意见，以及会后收到的委员的书面意见，就实现《巴黎协定》第二条第一款第(三)项的途径包括实施方法和指南选项的意见综述开展进一步工作，以编写报告的预定稿，供资委会第 32 次会议审议和定稿；

(d) 讨论了资委会公正转型资金论坛的成果，注意到论坛的总结报告将在闭会期间编写，邀请资委会委员在 2023 年 8 月 31 日前就下一届论坛的主题提交意见，供资委会第 32 次会议审议和确定；

(e) 商定资委会作为自身职能第二次审查的一部分编写的自评报告大纲，并商定了计划开展的调查问卷中的问题。资委会还商定在闭会期间进行调查，以编写自评报告草稿，供资委会第 32 次会议审议和定稿；

(f) 商定了资委会按规定需于 2024 年发布的技术报告的大纲，即(1) 第六次生物多样性评估(见附件三)，(2) 关于确定发展中国家缔约方与实施《公约》和《巴黎协定》有关的需要的第二份报告(见附件四)及(3) 关于每年联合筹集 1,000 亿美元以解决发展中国家在有意义的减缓行动和实施工作透明度方面的需要这一目标的第二份实施进展情况报告(见附件五)。

13. 在第 32 次会议上，资委会<sup>23</sup>：

(a) 完成了关于适应资金翻倍的报告及其内容提要；

(b) 完成了正在使用的气候资金定义的分组类型的报告及其内容提要。资委会商定在报告中列入关于可能更新资委会关于气候资金的业务定义的讨论摘要，强调在第六次“两年期评估”框架内正在开展关于气候资金定义的工作；

(c) 完成了关于实现《巴黎协定》第二条第一款第(三)项的途径、包括实施方针和指南选项的意见综述。作为外联工作的一部分，资委会商定为所有感兴趣的利益相关方，包括财政部的代表，举办一次关于意见综述的网络研讨会；

(d) 完成了 2023 年资委会公正转型资金论坛的总结报告，并商定了下两届论坛的主题(见下文第 42 段)；

(e) 完成了作为资委会职能第二次审查的一部分编写的资委会自评报告；

(f) 商定向缔约方会议第二十八届会议和《协定》/《公约》第五届会议提交一份关于资金机制经营实体指导意见草案的意见汇编和综述，同时指出，这不代表资委会成员的商定意见。

<sup>23</sup> 见资委会文件 SCF/2023/32/13。

## C. 未来会议的日期和地点

14. 为协助委员和观察员安排工作，资委会第 32 次会议商定了 2024 年会议的日期和地点如下：

- (a) 资委会第 33 次会议：2024 年 2 月 26 日至 28 日，波恩；
- (b) 资委会第 34 次会议：2024 年 5 月 29 日至 31 日，波恩；
- (c) 资委会第 35 次会议：2024 年 9 月 4 日至 6 日，坦桑尼亚联合共和国。

## 三. 资金问题常设委员会的工作

### A. 关于适应资金翻倍的报告

15. 《协定》/《公约》缔约方会议第三届会议回顾《巴黎协定》第九条第四款，在扩大资金规模的过程中争取实现减缓和适应平衡的背景下，促请发达国家缔约方在 2025 年之前将向发展中国家缔约集体方提供的气候适应资金提高到 2019 年水平的至少两倍<sup>24</sup>；《协定》/《公约》缔约方会议第四届会议请资委会根据第 1/CMA.3 号决定第 18 段编写一份关于适应资金翻倍的报告，供第五届会议审议<sup>25</sup>。

16. 资委会第 30 次会议讨论了适应资金翻倍报告的范围和提纲，包括收集和提交信息的方法。资委会委员还讨论了采用类似于两年期评估所用的方法来评估适应资金的最新数据和趋势的问题，包括提高区域和次区域的粒度，以及适应资金在获取、所有权、及时交付和影响方面的有效性。与会者指出，该报告将有助于确定在克服将适应资金翻倍的制约因素和增加资金实地影响方面的挑战和机遇。

17. 在联合召集人的指导下，一个由外部专家和秘书处工作人员组成的技术小组编写供资委会每次会议审议的报告草稿，并在资委会第 32 次会议之前编写了包含可能建议的内容提要初稿。针对就报告征集意见的呼吁，资委会收到了 17 份材料，其中 3 份来自缔约方，14 份来自非缔约方利益相关方。

18. 资委会第 31 次会议审议了报告初稿，并为预定稿的编写提供了指导意见。

19. 资委会第 32 次会议审议了内容提要草稿和报告预定稿。资委会委员就数据的来源和可视化发表了意见，讨论了与适应资金有关的挑战和机遇。委员们还讨论了关于适应资金翻倍的可能建议，以及关于数据缺口和扩大适应资金规模的更广泛问题的可能建议。

20. 在同次会议上，资委会最后完成了报告和内容提要，以供发布<sup>26</sup>。

<sup>24</sup> 第 1/CMA.3 号决定，第 18 段。

<sup>25</sup> 第 1/CMA.4 号决定，第 42 段。

<sup>26</sup> 报告包括资委会编写的内容提要和外部专家在资委会指导下编写的技术报告。报告将在 <https://unfccc.int/SCF> 上公布，内容提要载于本报告增编 (FCCC/CP/2023/2/Add.1-FCCC/PA/CMA/2023/8/Add.1)。

## B. 关于气候资金定义的工作

21. 缔约方会议第二十七届会议请资委会编写一份报告，供缔约方会议第二十八届会议审议，报告应以资委会关于气候资金定义的工作为基础，说明可在《气候公约》进程中考虑的正在使用的气候资金定义的分组类型，目的包括酌情更新资委会关于气候资金的业务定义，以及支持缔约方的国家报告工作，并请缔约方和外部利益相关方在 2023 年 4 月 30 日之前通过提交材料门户网站进一步提交材料<sup>27</sup>。

22. 根据上文第 21 段所述任务，共收到四份提交材料，其中三份是在相同的缔约方之前于 2020 年和 2022 年提交材料的基础上提交的，另一份是非缔约方利益相关方提交的。自 2020 年以来，共有 21 个缔约方、缔约方集团和非缔约方利益相关方提交了关于气候资金定义的意见；这些意见在关于正在使用的气候资金定义的分组类型报告的第二章中作了综述。

23. 资委会第 30 次会议讨论了报告的大纲，包括范围、方法学方针和气候资金定义分组类型的备选方案。资委会同意，对定义类型归类的办法是以指导文件的形式编写一份报告，目的是提供(1) 用户在为自己的具体情况制定或修订气候资金定义时可采用的逐步决策要点，(2) 目前在每个决策要点的各种备选办法中使用的定义实例。

24. 除了提交材料中的信息外，资委会还商定在编写关于正在使用的气候资金定义分组类型的报告时利用其他相关报告中的信息。资委会还商定考虑更新报告大纲中资委会关于气候资金的业务定义，并考虑如何在资委会以后的一次会议上报告更新的结果。

25. 在秘书处的支持下，这项工作的联合召集人编写了报告初稿，供资委会第 31 次会议审议。在这次会议上，资委会提供了关于报告的反馈意见，包括对要素的分类、指导文件中对范例的使用以及上文第 22 段所述提交材料的最新汇总报告。资委会还讨论了可能对气候资金的业务定义进行更新的方法。资委会商定征求书面意见，特别是关于更新气候资金业务定义方法的意见。

26. 资委会第 32 次会议审议了报告的预定稿，包括更新的意见综述报告和内容提要草稿。资委会委员们讨论了在报告中添加更多的视觉元素，以帮助用户查阅报告。他们还讨论了更新资委会气候资金业务定义的备选方案，同意在报告中列入这些讨论情况摘要。此外，他们同意在报告中强调在 2024 年第六次两年期评估背景下正在进行的气候资金定义的工作。

27. 资委会第 32 次会议最后完成了报告和内容提要，以供发布<sup>28</sup>。

## C. 与《巴黎协定》第二条第一款第(三)项有关的工作

28. 《协定》/《公约》缔约方会议第四届会议请资委会根据第 10/CMA.3 号决定第 2 段，继续就实现《巴黎协定》第二条第一款第(三)项的途径包括实施办法和

<sup>27</sup> 第 14/CP.27 号决定，第 11 段。

<sup>28</sup> 报告包括资委会编写的内容提要和秘书处在资委会指导下编写的技术报告。报告将在 <https://unfccc.int/SCF> 上公布，内容提要载于本报告增编 (FCCC/CP/2023/2/Add.2-FCCC/PA/CMA/2023/8/Add.2)。



指南选项继续开展工作，供第五届会议审议，并请缔约方和金融部门的利益相关方在 2023 年 4 月 30 日之前通过提交材料门户网站进一步提交相关资料<sup>29</sup>。

29. 资委会第 30 次会议讨论了这项任务的实质内容，同意这项工作应包括根据最新收到的意见对现有的关于这一问题的意见综述进行更新。资委会还认识到确保资委会这一领域的工作与关于《巴黎协定》第二条第一款第(三)项范围的沙姆沙伊赫对话框下的工作保持一致的重要性，以及资委会这一领域的工作与《巴黎协定》第九条、关于气候资金新的集体量化目标的特设工作方案和全球盘点的互补性。资委会讨论并商定了汇总报告的大纲。

30. 资委会第 31 次会议讨论了联合召集人在秘书处的支持下编写的意见综述的初稿，并提出了意见。资委会请联合召集人考虑到会议期间收到的口头和书面意见、会后收到的资委会委员的书面意见以及收到的提交材料，编写一份意见综述的预定稿，供资委会第 32 次会议审议。

31. 2022-2023 年期间，33 个缔约方、缔约方集团和非缔约方利益相关方就实现《巴黎协定》第二条第一款第(三)项的途径提交了意见。

32. 资委会第 32 次会议审议了意见综述的预定稿，包括作为综述一部分的内容提要。资委会委员们表示倾向于采用统一的办法来提取缔约方和非缔约方利益相关方提交的意见，讨论了第一次全球盘点中出现的与第二条第一款第(三)项有关的见解是否应纳入意见综述的问题。此外，委员们指出，对于《巴黎协定》第二条第一款第(三)项所述资金流动符合途径一语的含义如何理解的问题，提交材料中所表达的观点存在微妙之处，对此需要有所把握，并强调有必要强调提交材料中所表达的与第二条第一款第(三)项有关的方法和努力“洗绿”的潜在风险。

33. 作为外联计划的一部分，联合召集人报告说，他们打算在 2023 年 11 月初举行一次网络研讨会，向所有感兴趣的利益相关方(包括财政部的代表)通报意见综述中的结论。

34. 资委会在第 32 次会议上完成了载有意见综述的报告，以供发布<sup>30</sup>。

## D. 资金问题常设委员会论坛

### 1. 公正转型资金论坛

35. 缔约方会议授权资委会举办一个论坛，用于处理气候资金问题的机构和实体之间沟通情况和持续交流信息，以促进相互联系和连贯一致<sup>31</sup>。此外，缔约方会议要求资委会为私营部门、金融机构和学术界参加资委会论坛提供便利，并进一步加强与利益相关方的接触<sup>32</sup>。

36. 根据 2022 年商定的主题，联合召集人在资委会第 31 次会议之前为资委会 2023 年公正转型资金论坛制订了工作计划，其中考虑到资委会委员和观察员们在第 29 次和第 30 次会议上提出的分主题，即确定与转型和公正转型有关的机遇

<sup>29</sup> 根据第 14/CMA.4 号决定，第 4 段。

<sup>30</sup> 意见综述载于本报告增编(FCCC/CP/2023/2/Add.3-FCCC/PA/CMA/2023/8/Add.3)。

<sup>31</sup> 第 2/CP.17 号决定，第 121(a)段；第 14/CP.27 号决定，第 15 段。

<sup>32</sup> 第 5/CP.18 号决定，第 4 段；第 8/CP.23 号决定，第 14 段。

和挑战；为公正转型提供资金，争取实现《巴黎协定》目标乃至可持续发展目标；有助于公正转型的因素；界定包括私营部门在内的非缔约方利益相关方在为公正转型提供资金方面的作用以及支持公正转型的可能方式；推动实现对劳动力和其他受影响社区和利益相关者公正和包容的转型。

37. 在筹备论坛的过程中，资委会与泰国政府、联合国亚洲及太平洋经济社会委员会以及积极致力于公正转型的国际组织和民间社会组织进行了合作。

38. 资委会于 2023 年 7 月 17 日至 18 日在曼谷举办了论坛。超过 130 人现场参加了论坛，另有 60 人以虚拟方式参会。与会者包括资委会、各国政府、联合国机构、国际组织、资金机制经营实体、多边气候基金、双边机构、私营部门、学术界、智库和致力于公正转型的民间社会组织的代表。论坛的日程和视频可在专门网页上查阅<sup>33</sup>。

39. 在资委会第 31 次会议上，委员会思考了论坛一事，注意到联合召集人将在第 32 次会议前编写一份成果综述草稿。

40. 在资委会第 32 次会议上，委员们审议了综述草稿，在会议期间提出了书面意见，然后将报告定稿以供发表<sup>34</sup>。

## 2. 下几届论坛

41. 在资委会第 31 次会议上，资委会邀请委员们在 2023 年 8 月 31 日之前就 2024 年资委会论坛的主题提交意见，供第 32 次会议审议。

42. 在第 32 次会议上，委员们讨论了这些建议，并就未来两届论坛的主题达成一致，同时指出资委会必要时可在 2024 年审查 2025 年的主题：

(a) 2024 年：“通过促进性别平等的资金加快气候行动和复原力建设”；

(b) 2025 年：“通过为可持续粮食系统和农业提供资金，加快气候行动和复原力建设”。

## E. 对资金问题常设委员会职能的自我评估

43. 缔约方会议第二十七届会议通过了资委会职能第二次审查职权范围，并得到《协定》/《公约》缔约方会议第四届会议的确认<sup>35</sup>。缔约方会议第二十七届会议邀请资委会委员在 2023 年 4 月 30 日之前根据职权范围提交对资委会职能第二次审查的意见，供履行机构第五十八届会议审议<sup>36</sup>。结合这次审查，资委会为履行机构第五十八届会议编写了一份关于资委会在审查所涉期间交付的产出以及缔约方会议和《协定》/《公约》缔约方会议所作相关决定的概览<sup>37</sup>。

<sup>33</sup> <https://unfccc.int/event/2023-forum-of-the-standing-committee-on-finance-financing-just-transitions>.

<sup>34</sup> 综述报告载于本报告增编(FCCC/CP/2023/2/Add.4-FCCC/PA/CMA/2023/8/Add.4)。

<sup>35</sup> 第 15/CP.27 号决定，第 1 段；第 15/CMA.4 号决定。职权范围载于第 15/CP.27 号决定附件。

<sup>36</sup> 第 15/CP.27 号决定，第 3 段。

<sup>37</sup> 可查阅 <https://www4.unfccc.int/sites/SubmissionsStaging/Documents/202306051217---SCF%20Submission%20to%20SBI%2058.pdf>。

44. 在资委会第 30 次会议上，委员们建议，他们商定开展的调查问卷中的问题应促使答复者分享自己的观点，并思考资委会的以下方面：

- (a) 资委会作为技术机构和政治机构的双重作用；
- (b) 资委会职能重新定位或重新确定优先重点的必要性，以及为此目的可采用的机制；
- (c) 资委会的任务授权与其核心职能的一致性；
- (d) 资委会与缔约方和非缔约方利益相关方接触以提高他们对资委会产品的认识的方式；
- (e) 外部利益相关方在多大程度上参与资委会工作并认为其产品有益。

45. 资委会第 31 次会议就联合召集人提出的调查问卷问题和自评报告大纲达成一致。资委会请联合召集人在闭会期间开展调查并编写自评报告草稿，供第 32 次会议审议。

46. 资委会第 32 次会议以调查结果为出发点，讨论了提高资委会效率和效力的可能机会，并确定了应列入资委会自评报告的内容，然后将报告定稿发布<sup>38</sup>。

## F. 资金机制经营实体指导意见草案

47. 缔约方会议第十七届会议授权资委会向缔约方会议提供关于资金机制经营实体的指导意见草案，以期提高此类指导意见的统一性和实用性，指导意见中应考虑到经营实体的年度报告以及缔约方提交的意见<sup>39</sup>。此外，缔约方会议第二十一届会议决定，资委会应按照缔约方会议确定<sup>40</sup>并经《协定》/《公约》缔约方会议第 1 和第 3 号决定<sup>41</sup>确认的职能和责任为《巴黎协定》服务。

48. 2023 年 8 月 30 日，资委会在其网页上发布了一项呼吁，要求缔约方和组成机构就资金机制经营实体指导意见内容要素提交材料，截止日期为 2023 年 9 月 15 日<sup>42</sup>。

49. 截至 2023 年 9 月 26 日，资委会共收到缔约方和组成机构就指导意见草案提交的 7 份材料<sup>43</sup>。该工作领域的联合召集人对收到的提交材料进行了汇编和综合，供资委会第 32 次会议审议。在资委会第 32 次会议期间，联合召集人结合会议上收到的五份提交材料对汇编和综合做了更新<sup>44</sup>。它们将所有提交材料的内容按专题领域归类，并尽可能将具有共同实质性内容的提交材料综合起来。联合召

<sup>38</sup> 自评报告载于本报告增编(FCCC/CP/2023/2/Add.5-FCCC/PA/CMA/2023/8/Add.5)。

<sup>39</sup> 根据第 2/CP.17 号决定，第 121(c)段。

<sup>40</sup> 第 1/CP.21 号决定，第 63 段。

<sup>41</sup> 第 3/CMA.1 号决定，第 6 段。

<sup>42</sup> 根据第 16/CP.27 号决定，第 21 段；第 17/CP.27 号决定，第 18 段。

<sup>43</sup> 这些材料来自适应委员会、最不发达国家专家组、技术执行委员会以及智利、欧洲联盟、瑞士和美国。

<sup>44</sup> 提交材料来自阿拉伯集团、观点相似的发展中国家、资委会、华沙国际机制执行委员会以及大不列颠及北爱尔兰联合王国。

集人还在更新的汇编和综合报告中纳入了各经营实体秘书处就指导意见草案某些内容无法执行的原因提出的意见。

50. 联合召集人建议将汇编和综合报告作为资委会编写的指导意见草案提交。但是，有些委员对这一做法表示保留，因为收到的材料仅来自为数很少的缔约方和缔约方集团。委员们还对没有足够的时间妥善开展工作表示关切，因为许多提交材料是在截止日期之后提交的，有些是在会议期间提交的。

51. 资委会第 32 次会议同意向缔约方会议第二十八届会议和《协定》/《公约》第五届会议提交联合召集人关于指导意见草案提交材料的汇编和综合，同时指出该文件并不代表资委会委员的一致意见，缔约方可参考这些意见和/或提出补充建议<sup>45</sup>。

## G. 性别

52. 缔约方会议第二十二届会议请所有组成机构在定期报告中提供信息，说明它们在将性别观点纳入各自进程方面取得的进展<sup>46</sup>。缔约方会议第二十五届和第二十六届会议鼓励资委会继续加强努力，确保在执行工作计划时顾及性别平等<sup>47</sup>。缔约方会议第二十七届会议请缔约方在提名资委会委员时考虑性别平衡和地域代表性<sup>48</sup>。

53. 资委会视情将性别观点纳入自身的技术工作。例如，关于适应资金翻倍的报告从适应资金的有效性角度讨论了性别敏感性问题，着重指出以符合性别问题利马工作方案及其性别问题行动计划以及《巴黎协定》第七条第五款的方式将性别视为提高适应资金质量的关键机会。

54. 资委会在 2023 年举办的所有活动中，都努力实现演讲者的性别平衡(例如，在资委会论坛上，57%的演讲者是女性)。

## H. 与附属履行机构以及《公约》和《巴黎协定》之下各组成机构之间的联系

55. 缔约方会议第二十一届会议请资委会继续加强与利益相关方和《公约》之下各组成机构的接触<sup>49</sup>。缔约方会议第二十三届会议欢迎资委会任命联络人，与其他组成机构进行联络，并请资委会继续在对缔约方会议的年度报告中提供这方面的信息<sup>50</sup>。

56. 资委会继续采取整体方针保持与其他组成机构的联系，包括：

- (a) 着重介绍那些特别希望与各组成机构合作的具体工作领域；

<sup>45</sup> 汇编和综合载于本报告增编(FCCC/CP/2023/2/Add.6-FCCC/PA/CMA/2023/8/Add.6)。

<sup>46</sup> 第 21/CP.22 号决定，第 14 段。

<sup>47</sup> 第 11/CP.25 号决定，第 14 段；第 5/CP.26 号决定，第 26 段。

<sup>48</sup> 第 14/CP.27 号决定，第 19 段。

<sup>49</sup> 第 6/CP.21 号决定，第 2 段。

<sup>50</sup> 第 7/CP.23 号决定，第 11 段。

(b) 从参与其他机构活动和向这些机构提供投入的现有工作和相关成果中汲取经验；

(c) 允许资委会代表以个人专家身份(通过现场或虚拟方式)出席组成机构的会议，然后向资委会报告。

57. 2023 年，资委会任命了新的协调人，确认了现有协调人，以代表资委会参加其他组成机构的专题领域工作，即：

(a) Kevin Adams、Gabriela Blatter、Zaheer Fakir、Richard Muyungi 和 Mohamed Nasr 负责与适应有关的事项，包括参加适应委员会、适应委员会—专家组—资委会关于审评适应和支持工作的充分性和有效性的方法的联合工作组以及专家组的工作；

(b) Diann Black-Layne、Katarzyna Kowalska 和 Vicky Noens (比利时)负责与技术有关的事项，包括参加气候技术中心和网络咨询委员会以及技术执行委员会的工作；

(c) Mattias Frumerie 和 Apollonia Miola 负责能力建设事项，包括参加巴黎委员会的工作；

(d) Kevin Adams、Diann Black-Layne、Javier Antonio Gutiérrez Ramírez、Hyekyoung Jung 和 Apollonia Miola 负责与损失和损害有关的事项，包括参加华沙国际机制执行委员会的工作；

(e) Katarzyna Kowalska 负责与应对措施有关的事项，包括参加实施应对措施的影响问题卡托维兹专家委员会的工作；

(f) Apollonia Miola 和 Ivan Zambrana Flores, 负责与土著人民有关的事项，包括参加地方社区和土著人民平台促进工作组的工作；

(g) Richard Muyungi 和 Ivan Zambrana Flores 负责与森林筹资有关的事项；

(h) Gertraud Wollansky 负责与性别有关的事项。

58. 2023 年，新上任和将离任的资委会各位联络人参加了各种会议和活动，包括：

(a) 华沙国际机制执行委员会第 18 次会议，联络人在会上介绍了第五次两年期评估的结论，解释了为资金机制经营实体编写指导意见草案的情况，并讨论了缔约方会议第二十七届会议和《协定》/《公约》缔约方会议第五届会议为资委会规定的有关在行动和支助以及资委会其他工作领域方面加强合作和提供便利的任务；

(b) 地方社区和土著人民平台促进工作组第 8 次会议，联络人在会上重申资委会愿意继续参与探讨工作组如何将加强土著人民获得气候资金的问题纳入其工作方案的问题；

(c) 适应委员会—专家组—资委会联合工作组的工作。联络人协助编写了一份关于审评适应和支持的充分性和有效性的方法的技术文件，作为对第一次全球盘点的投入<sup>51</sup>；

(d) 巴黎委员会会议，协调人为将在缔约方会议第二十八届会议之前发布的关于获取、筹集和扩大气候资金的能力建设小册子提供了书面材料。两个机构探讨了是否可能合作举办一次研讨会以讨论如何提高由气候公约基金、双边捐助方和多边开发银行开展和资助的能力建设活动的有效性；

(e) 气候技术中心和网络咨询委员会第 21 次会议，联络人为会议介绍了资委会活动情况和 2023 年工作计划。由于第 21 次会议与资委会第 32 次会议时间重合，联络人无法出席，于是以书面形式提供了资料；

(f) 非正式协调小组会议，联络人重点讨论了加强两个机构工作的一致性和协调的问题，欢迎巴黎委员会建议资委会和巴黎委员会联合举办讲习班或活动以强调利益相关方能力建设的重要性。联络人还就非正式协调小组编写的关于减缓、适应和气候资金问题的小册子提供了评论意见。

59. 此外，在附属机构第五十八届会议上：

(a) 资委会举行了一次场边活动，传播关于资委会工作流和资委会可为缔约方会议第二十八届会议交付的成果的信息。这次活动为气候资金利益相关方提供了一个机会，讨论资委会在缔约方会议第二十七届会议规定的任务授权和缔约方会议第二十八届会议战略优先事项的范围内为缔约方和广大气候融资界服务的作用；

(b) 资委会共同主席之一参加了格拉斯哥非市场方法委员会第 3 次会议，介绍了第五次两年期评估的主要成果、关于确定发展中国家缔约方与执行《公约》和《巴黎协定》相关需求的第一份报告的结论以及资委会论坛的主要结论；

(c) 在气候公约各组成机构主席关于将性别观点纳入各自进程的进展情况的对话中，资委会性别相关事项协调人介绍了资委会在将性别考虑纳入自身工作方面的情况以及可能需要改进的领域，例如，在所有资委会活动和外联活动的参与上实现性别平衡，在资委会技术报告中进一步使用按性别分类的数据和资料。

<sup>51</sup> 适应委员会、专家组和资委会。2023 年。《审评适应和支持的充分性和有效性的方法》。参考文件。波恩：气候公约。可查阅：<https://unfccc.int/process-and-meetings/bodies/constituted-bodies/adaptation-committee-ac/publications-bulletin/methodologies-for-reviewing-the-adequacy-and-effectiveness-of-adaptation-and-support-reference-paper>。

## 附件一

## 资金问题常设委员会截至 2023 年 9 月 28 日的委员名单

[English only]

**I. Parties included in Annex I to the Convention**

Kevin Adams (United States of America)  
Gabriela Blatter (Switzerland)  
Mattias Frumerie (Sweden)  
Katarzyna Kowalska (Romania)  
Apollonia Miola (European Union)  
Ian Naumkin (Russian Federation)  
Vicky Noens (Belgium)  
Saiko Saito (Japan)  
Gertraud Wollansky (Austria)  
Brittany Young (Australia)

**II. Parties not included in Annex I to the Convention****African States**

Zaheer Fakir (South Africa)  
Mohamed Nasr (Egypt)

**Asia-Pacific States**

Hyekyoung Jung (Republic of Korea)  
Chandni Raina (India)

**Latin American and Caribbean States**

Javier Antonio Gutiérrez Ramírez (Nicaragua)  
Ivan Zambrana Flores (Plurinational State of Bolivia)

**Least developed countries**

Zerihun Getu Mekuria (Ethiopia)

**Other Parties not included in Annex I to the Convention**

Richard Muyungi (United Republic of Tanzania)  
Liucui Zhu (China)

**Small island developing States**

Diann Black-Layne (Antigua and Barbuda)

## 附件二

## 资金问题常设委员会 2024 年工作计划

[English only]

<i>Activity</i>	<i>Outcomes/results</i>	<i>Time frame</i>
<b>1. Mandated activities of the SCF under decision 2/CP.17, paragraph 121</b>		
<b>(a) Organize a forum for the communication and continued exchange of information among bodies and entities dealing with climate change finance in order to promote linkages and coherence</b>	2024 SCF Forum on accelerating climate action and resilience through gender-responsive finance organized and held	Pending agreement on date and venue
	SCF strategic outreach plan continuously updated and implemented	Ongoing
Decision 1/CP.18, paragraph 70: implement the work programme of the SCF, including the creation of a climate finance forum that will enable all Parties and stakeholders to, inter alia, exchange ideas on scaling up climate finance	Linkages established and ideas continually exchanged with constituted bodies, operating entities of the Financial Mechanism and organizations dealing with climate finance	Ongoing
Decision 5/CP.18, paragraph 4: facilitate the participation of the private sector, financial institutions and academia in the Forum	Stakeholders engaged via calls for inputs, webinars and outreach activities	Ongoing
Decision 8/CP.23, paragraph 12: ensure the value added of the Forum when deciding on the topic of each Forum; provide clear recommendations to the COP, as appropriate, regarding follow-up actions on the Forum; and enhance the dissemination, use and ownership of the accumulated knowledge and expertise gathered at the Forum	Co-facilitators engaged at events to provide information on the outcomes of the SCF Forum	Ongoing
<b>(b) Maintain linkages with the SBI and the UNFCCC constituted bodies, including in relation to decision 8/CP.23, paragraph 11: further refine the approach to maintaining linkages with the subsidiary and constituted bodies according to resources available and in the context of existing working modalities</b>	Presiding officers of the subsidiary bodies and Chairs of the constituted bodies informed about the activities of the SCF, and working relationships established	Ongoing
	SCF focal points appointed to enhance engagement with constituted bodies under the Convention and the Paris Agreement	Ongoing
<b>(c) Provide the COP with draft guidance for the operating entities of the Financial Mechanism with a view to improving the consistency and practicality of such guidance, taking into account the annual reports of the operating entities and relevant submissions from Parties</b>	Draft guidance provided to the COP and the CMA	COP 29/CMA 6



<i>Activity</i>	<i>Outcomes/results</i>	<i>Time frame</i>
Decision 3/CMA.1, paragraph 8: prepare draft guidance for the operating entities of the Financial Mechanism, and on the Least Developed Countries Fund and the Special Climate Change Fund, for consideration and adoption by the CMA	Draft guidance provided for consideration by Parties	COP 29/CMA 6
Decisions 11/CP.25, paragraph 13; and 5/CMA.2, paragraph 13: consider inputs that may be provided by the WIM Executive Committee to the work of the SCF in preparing elements of draft guidance for the operating entities	Draft guidance provided for consideration by Parties	COP 29/CMA 6
Decision 14/CP.27, paragraph 13: improve working modalities for preparing the draft guidance for the operating entities of the Financial Mechanism	Draft guidance provided for consideration by Parties	COP 29/CMA 6
<b>(d) Make recommendations on how to improve the coherence, effectiveness and efficiency of the operating entities of the Financial Mechanism</b>	Recommendations provided to the COP, as appropriate	Sessions of the COP and the CMA
Functions of the SCF as per decision 1/CP.16, paragraph 112: rationalize the Financial Mechanism, including the undertaking of analyses and information exchanges	Recommendations provided to the COP, as appropriate	Sessions of the COP and the CMA
	Information exchanged through the SCF Forum, as appropriate	Ongoing
<b>(e) Prepare a BA, to include information on the geographical and thematic balances of climate finance flows</b>	Technical report prepared by a technical team and a summary and recommendations prepared by the SCF as an addendum to its annual report in 2024	COP 29/CMA 6
Decision 3/CP.19, paragraph 11: in the context of the preparation of the BA, consider ongoing technical work on operational definitions of climate finance, including private finance mobilized by public interventions, to assess how adaptation and mitigation needs can most effectively be met by climate finance, and include the results in the annual report of the SCF to the COP		Ongoing
Decision 9/CP.21, paragraph 13: take into account in the BA the enhanced information provided by Parties included in Annex II to the Convention referred to in paragraph 6 of decision 9/CP.21		Ongoing
Decision 4/CP.24, paragraph 5: use the established terminology in the provisions of the Convention and the Paris Agreement in relation to climate finance, where applicable		Ongoing
Decision 4/CP.24, paragraph 10: map, every four years, as part of the BA, the available information relevant to Article 2, paragraph 1(c), of the Paris Agreement, including its reference to Article 9 thereof		Ongoing
Decision 19/CMA.1, paragraph 24: prepare synthesis reports for the technical assessment of the global stocktake		Ongoing

Activity	Outcomes/results	Time frame
Decisions 11/CP.25, paragraph 9; and 5/CMA.2, paragraph 9: present, to the extent possible, disaggregated information in relation to, inter alia, mapping data availability and gaps by sector, assessing climate finance flows and presenting information on the determination of the needs of developing country Parties related to implementing the Convention and the Paris Agreement		Ongoing
Decision 14/CP.27, paragraph 7: further work, in the sixth BA, on data limitations in relation to private climate finance, including private finance mobilized by developed country Parties through bilateral and multilateral channels, and finance in sectors other than energy and transport, including in relation to data by region, private finance mobilized from public interventions and financing arrangements relevant to averting, minimizing and addressing loss and damage;		Ongoing
<b>(f) Provide expert input, including through independent reviews and assessments, to the preparation and conduct of the periodic reviews of the Financial Mechanism by the COP</b>	Expert input to the seventh review of the Financial Mechanism provided	COP 29, pending adoption of the guidelines for the seventh review at COP 28
<b>2. Determination of the needs of developing country Parties related to implementing the Convention and the Paris Agreement</b>		
Decision 4/CP.24, paragraph 13: prepare, every four years, a report on the determination of the needs of developing country Parties related to implementing the Convention and the Paris Agreement, for consideration starting at COP 26 and CMA 3	Technical report prepared by a technical team and an executive summary prepared by the SCF as an addendum to its annual report in 2024	COP 29/CMA 6
Decision 4/CP.24, paragraph 14: collaborate, as appropriate, with the operating entities of the Financial Mechanism, the subsidiary and constituted bodies, multilateral and bilateral channels, and observer organizations		Ongoing
Decisions 11/CP.25, paragraph 9; and 5/CMA.2, paragraph 9: present, to the extent possible, disaggregated information in relation to, inter alia, mapping data availability and gaps by sector, assessing climate finance flows and presenting information on the determination of the needs of developing country Parties related to implementing the Convention and the Paris Agreement		Ongoing
Decisions 11/CP.25, paragraph 12; and 5/CMA.2, paragraph 12: in implementing the strategic outreach plan, build on existing efforts to reach out to developing country Parties and relevant developing country stakeholders when generating data and information for the determination of the needs of developing country Parties related to implementing the Convention and the Paris Agreement		Ongoing

<i>Activity</i>	<i>Outcomes/results</i>	<i>Time frame</i>
Decision 5/CP.26, paragraph 19: in preparing future reports on the determination of the needs of developing country Parties related to implementing the Convention and the Paris Agreement, continue to reach out to developing country Parties and relevant developing country stakeholders when generating data and information on needs		Ongoing
<b>3. Progress report on the USD 100 billion per year goal</b>		
Decision 13/CP.27, paragraph 15: prepare BRs, including a summary of key findings, on progress towards achieving the goal of mobilizing jointly USD 100 billion per year to address the needs of developing countries in the context of meaningful mitigation actions and transparency on implementation, taking into account other relevant reports, for consideration by COP 29, 31 and 33, with the final report to be considered in the context of matters relating to the SCF	Technical report prepared by a technical team and an executive summary prepared by the SCF as an addendum to its annual report in 2024	COP 29
<b>4. SCF mandates: gender</b>		
Decision 21/CP.22, paragraph 14: all constituted bodies to include in their regular reports information on progress towards integrating a gender perspective into their processes according to the entry points identified in the technical paper referred to in paragraph 13 of decision 21/CP.22	A gender perspective integrated into SCF processes according to the entry points identified in the technical paper	Ongoing
Decisions 11/CP.25, paragraph 14; 5/CP.26, paragraph 26; and 5/CMA.2, paragraph 14: continue to enhance efforts towards ensuring gender-responsiveness in implementing the SCF workplan	Gender considerations integrated into the SCF Forum, the BA, the needs determination report and any new work mandated at COP 28 and CMA 5, as appropriate	Ongoing
<b>5. SCF mandates: general</b>		
Decision 1/CP.21, paragraph 63: serve the Paris Agreement in line with the functions and responsibilities of the SCF established under the COP		Ongoing
Decision 6/CP.21, paragraph 2: continue to strengthen engagement with all relevant stakeholders and constituted bodies	Stakeholder engagement under SCF workstreams, with reference to the SCF strategic outreach plan, enhanced	Ongoing
	Linkages with the constituted bodies under the Convention and the Paris Agreement enhanced	Ongoing
Decision 8/CP.23, paragraph 14: further strengthen stakeholder engagement	Stakeholder engagement enhanced	Ongoing

## 附件三

## 第六次气候资金流动两年期评估和概览技术报告大纲

[English only]

**Acknowledgements**

**Summary and recommendations by the SCF on the sixth BA**, including the tracking, follow-up and review of recommendations from previous BAs

**Introduction**

- Background and objectives: setting the scene – provide the context relating to decisions of the COP, including decision 4/CP.24 – paragraphs 4 (taking into account the best available science) and 5 (using established terminology in provisions of the Convention and the Paris Agreement in relation to climate finance, where applicable).
- Scope: explicit explanation of what the sixth BA will do (i.e. metadata analysis and overview/summary of existing publicly available information; mapping of available information relevant to Article 2, paragraph 1(c), of the Paris Agreement, including its reference to Article 9 thereof).
- Challenges and limitations (e.g. practical difficulties in estimating domestic flows, private flows and other unreported or underreported flows with any certainty, follow-up on gaps and challenges identified in previous BAs).
- Approaches used in preparing the sixth BA:
  - Clearly explain what the BA is: describe data sources, time period, coverage and aggregation (e.g. how the different types of subflows are categorized in the onion diagram, how “pledged” versus “committed” versus “disbursed” flows are treated);
  - Clearly describe where the data on geographical and thematic distribution come from and how they are aggregated and categorized.

**Chapter 1: Methodological issues related to the transparency of climate finance***Boxes/case studies*

- Key messages, new developments and trends.
- Brief summary or update of ongoing technical work related to the transparency of climate finance, including operational definitions:
  - Compilation of definitions of climate finance and criteria used by various institutions, and compilation of information on how Parties define mitigation and adaptation in their NCs, BRs, BURs, NDCs, NAPs and nationally appropriate mitigation actions;
  - Comparison of approaches used in reporting climate finance, including sector-based methodologies, methodologies for estimating mobilized private finance, and domestic climate finance tracking systems.
- Information on emerging methodologies for measuring mitigation and adaptation finance outcomes.
- Information on emerging methodologies relevant to tracking consistency with the long-term goal outlined in Article 2, paragraph 1(c), of the Paris Agreement.
- Review of recommendations from the previous BAs.

**Chapter 2: Overview of climate finance flows in 2021–2022***Boxes/case studies*

- Key messages, new developments and trends.

- Mapping of data availability and gaps by sector, geographical area, theme, and financial instrument or asset class.
- Updated onion diagram, including information on trends since the 2014 BA with respect to flows, thematic and geographical distribution, and financial instruments used, taking into account lessons learned from the fifth BA (e.g. sectors, country classification):
  - Estimates of global total climate finance flows, both international and domestic;
  - Climate finance flows from developed to developing countries;<sup>1</sup>
  - UNFCCC funds;
  - South–South cooperation on climate finance;
  - Information on financial instruments used.
- Evaluation of the quality of data (including by clearly identifying the uncertainties associated with each source of data and describing how the quality of measurement and reporting is assessed) and the completeness of data (e.g. clearly outlining the sources of data uncertainty, clearly describing the assessment of data quality as ‘relatively certain’, ‘medium certain’ or ‘relatively uncertain’, and clearly presenting the scale of completeness of data from ‘low’ to ‘high’).
- Update of available data sets that integrate climate change considerations into insurance, lending and investment decision-making processes and that include information relevant to tracking consistency with the long-term goal outlined in Article 2, paragraph 1(c), of the Paris Agreement.
- Reflection of perspectives of recipient countries.
- Identification of emerging sources of data (e.g. cities).

### Chapter 3: Assessment of climate finance flows

#### *Boxes/case studies*

- Key messages, new developments and trends.
- Introduction.
- Thematic objectives and geographical distribution of climate finance flows to developing countries:
  - Thematic objectives of climate finance;
  - Geographical distribution of climate finance;
  - Additionality of climate finance provided.
- Effectiveness of climate finance: ownership, needs and impacts:
  - Access to climate finance (e.g. challenges, lessons learned and improvements since the fifth BA);
  - Pledges, approvals, commitments and disbursement of climate finance;
  - Ownership;
  - Alignment of climate finance with investment needs and plans, including in the context of NDCs and NAPs;
  - Reported results and impacts of climate finance: selected insights and experience;

<sup>1</sup> For the purpose of the overview of climate finance in the BA, various data sources are used to illustrate flows from developed to developing countries, without prejudice to the meaning of those terms in the context of the Convention and the Paris Agreement, including but not limited to flows from Parties included in Annex I to the Convention and Parties included in Annex II to the Convention to Parties not included in Annex I to the Convention and multilateral development banks; flows from OECD members to countries that are not OECD members; flows from OECD Development Assistance Committee members to countries eligible for OECD Development Assistance Committee official development assistance; and other relevant classifications.

- Leverage and mobilization;
- Technology cost.
- Global total climate finance, and developing country flows in context:
  - Total investments by sector and region, including in high-carbon energy;
  - Estimates of subsidies;
  - Subsidies and financing measures affecting forests and land-use change;
  - Global finance at risk from climate change.
- Drivers of climate finance flows.
- Special topics/issues, such as gender and climate finance, forest finance, financial instruments to address loss and damage, technology investment and climate-resilient infrastructure.

#### **Chapter 4: Mapping of information relevant to Article 2, paragraph 1(c), of the Paris Agreement, including its reference to Article 9 thereof**

##### *Boxes/case studies*

- Key messages.
- Introduction.
- Scope.
- Challenges and limitations.
- Ongoing activities and initiatives such as investment portfolios, regulatory initiatives, voluntary private sector disclosures and integration of climate risk in investments.
- Additional information and data sets (e.g. metrics, approaches, methodologies).
- Impact of transformation on the real economy.

##### **Annexes**

##### **References**

##### **Frequently asked questions**

##### **Glossary**

##### **Possible examples for boxes/case studies (in relevant chapters):**

- Metrics for assessing progress in the alignment of portfolios of international financial institutions, institutional investors, etc.;
- Systems and tools for integrating climate change considerations into investment strategies and decision-making processes in the mainstream investment, lending and insurance sectors;
- Available information relevant to Article 2 of the Paris Agreement;
- The perspective of the small island developing States on climate finance flows;
- Efforts to avoid double counting within the BA;
- Perspectives on the links between development and climate change in providing and accessing finance;
- Financial instruments addressing the potential increased cost of finance due to the integration of climate change risk.

## 附件四

关于确定发展中国家缔约方与执行《公约》和《巴黎协定》  
相关需求的第二份报告大纲

[English only]

**Acknowledgements****Executive summary** including key findings**Chapter 1: Mandate and scope**

- Mandate in decision 4/CP.24, paragraph 13, and guidance in decisions 11/CP.25, 5/CMA.2 and 5/CP.26.
- Scope and approaches used in preparing the second report on the determination of the needs of developing country Parties related to implementing the Convention and the Paris Agreement:
  - Description of the sources of information and data, time period, coverage, and how the different information and data from national, subregional, regional and global reports were categorized, aggregated and presented;
  - Description of the approach used by the SCF in determining the needs of developing country Parties, including the follow-up and review of recommendations from the first report on the determination of the needs of developing country Parties related to implementing the Convention and the Paris Agreement;
  - Other considerations in the preparation of the second report, for example considerations relating to gender, Indigenous Peoples and implementation of a consultative process.

**Chapter 2: Overview of available information on the needs of developing country Parties**

- Key findings.
- Introduction.
- Qualitative and quantitative information and data available on the needs of developing country Parties relating to implementing the Convention and the Paris Agreement, according to:
  - Information and data from national reports by theme, geographical region and sector, for example from adaptation communications, NDCs, NAPs, BURs, NCs, technology needs assessments, country programmes (developed for the Green Climate Fund, the Global Environment Facility and the Adaptation Fund), city climate action programmes, as applicable, other national climate change policies and strategies, and national development plans;
  - Information and data from regional and subregional reports, strategies, programmes (e.g. country programmes), policies, etc., including from bilateral and regional agencies and banks, by theme, geographical region and sector, for example from regional and subregional reports on needs in Africa, Asia and the Pacific, Eastern Europe, and Latin America and the Caribbean, including in the least developed countries and small island developing States;
  - Information and data from global reports, policies and programmes, by theme, geographical, sector, etc., for example from multilateral agencies, United Nations programmes and multilateral development banks.

*Boxes/case studies/data visualizations*

**Chapter 3: Processes and approaches for determination of needs in developing country Parties**

- Key findings.
- Introduction.
- Institutional arrangements.
- Country experience (e.g. boxes/case studies).

**Chapter 4: Underlying assumptions and methodologies used in determining the needs of developing country Parties**

- Key findings.
- Introduction.
- Overview of methodologies and approaches used in determining the needs of developing country Parties: indication of the advantages, disadvantages and challenges of each methodology or approach.
- Mapping of criteria and views used by countries and other stakeholders in determining the needs of developing country Parties in relation to both goals (temperature goals or sectoral goals), with differentiation between adaptation and mitigation, and the identification of common trends and views used in determining needs.

*Boxes/case studies/data visualizations*

**Chapter 5: Challenges, opportunities and gaps in determining the needs of developing country Parties**

- Key findings.
- Introduction.
- Information gaps and limitations.
- Opportunities for enhancing the determination of needs.
- Insights into determining needs with available resources (country case studies and experience).
- Issues identified by countries and regional and multilateral institutions relating to concerns and obstacles faced in determining the needs of developing country Parties, as well as opportunities, for example:
  - Level of indebtedness, relevant creditworthiness, policies related to finance (co-financing requirements, results-based finance, etc.), instruments available and cost of finance;
  - Co-benefits related to addressing the needs of developing country Parties, such as the Sustainable Development Goals within the framework of the 2030 Agenda for Sustainable Development, disaster risk reduction and the Addis Ababa Action Agenda.

*Boxes/case studies/data visualizations*

**Annexes****References****Frequently asked questions****Glossary**



## 附件五

## 关于实现每年共同筹集 1,000 亿美元的目标以满足发展中国家在有意义的减缓行动和实施工作透明度方面的需求的第二次进展情况报告大纲

[English only]

### Acknowledgements

### Executive summary

### Chapter 1: Introduction

- Background and objectives: setting the scene – mandate (decision 13/CP.27, paragraph 15) and context (including other relevant decisions).
- Scope: explanation of the nature and scope of the second report on progress towards achieving the goal of mobilizing jointly USD 100 billion per year by 2020 through to 2025 to address the needs of developing countries in the context of meaningful mitigation actions and transparency on implementation, taking into account the Climate Finance Delivery Plan and relevant reports. The report will, among other things, focus on backward-looking data and forward-looking data up until 2025, that is, the time frame of the goal.
- Structure.
- Outline.
- Challenges and limitations, for example those related to data availability, methodological, and definitional issues.
- Approach used in preparing the report. Where possible, disaggregated information on themes, sectors and geographical distribution of finance, as well as information on impacts and outcomes of climate finance, will be reflected in the report.

### Chapter 2: Sources of information

- Description of approaches used in the sources of information on progress towards achieving the goal of mobilizing jointly USD 100 billion per year:
  - Backward-looking reports on climate finance:
    - National reports submitted as part of the UNFCCC process, for example BRs and BURs;
    - BAs;
    - Other relevant reports, for example those from OECD, ODI, Oxfam, UNEP gap reports and the World Resources Institute;
  - Forward-looking information on climate finance:
    - National reports submitted as part of the UNFCCC process, for example biennial communications in accordance with Article 9, paragraph 5, of the Paris Agreement, and NDCs;
    - Other relevant reports, for example the Climate Finance Delivery Plan.
- Description of approaches used in the sources of information on the needs of developing countries:
  - National reports submitted as part of the UNFCCC process, for example NCs, BURs and NDCs;

- Report on the determination of the needs of developing country Parties related to implementing the Convention and the Paris Agreement;
- Other relevant reports, for example needs-based finance regional and national level climate finance access and mobilization strategies, and technical assessments.
- Description of approaches used in the sources of information on meaningful mitigation actions and transparency on implementation:
  - National reports submitted as part of the UNFCCC process, for example BRs, BURs, NCs, NDCs and REDD+ strategies;
  - Reports prepared by the secretariat, for example the NDC synthesis report, and compilation and synthesis reports for BRs and for BURs;
  - Other relevant reports.

### **Chapter 3: Quantitative and qualitative information**

- Available quantitative and qualitative information on progress towards achieving the goal of mobilizing jointly USD 100 billion per year from:
  - Backward-looking reports on climate finance:
    - National reports submitted as part of the UNFCCC process, for example BRs and BURs;
    - BAs;
    - Other relevant reports, for example those from OECD, ODI, Oxfam, UNEP gap reports and the World Resources Institute;
  - Forward-looking information on climate finance:
    - National reports submitted as part of the UNFCCC process, for example biennial communications in accordance with Article 9, paragraph 5, of the Paris Agreement;
    - Other relevant reports, for example the Climate Finance Delivery Plan and the UNEP gap reports.
- Available quantitative and qualitative information on the needs of developing countries:
  - National reports submitted as part of the UNFCCC process, for example BURs, NCs and NDCs;
  - Report on the determination of the needs of developing country Parties related to implementing the Convention and the Paris Agreement;
  - Other relevant reports, for example needs-based finance regional and national level climate finance access and mobilization strategies, and technical assessments.
- Available quantitative and qualitative information on meaningful mitigation actions and transparency on implementation, for example carbon dioxide emissions reduced or avoided in the relevant time frame, and the number of BURs submitted during the relevant time frame:
  - National reports submitted as part of the UNFCCC process, for example BRs, BURs, NCs and NDCs;
  - Reports prepared by the secretariat, for example the NDC synthesis report, and compilation and synthesis reports for BRs and for BURs;
  - Other relevant reports.

**Chapter 4: Progress towards the goal of mobilizing jointly USD 100 billion per year**

- Trends in progress towards achieving the goal of mobilizing jointly USD 100 billion per year to address the needs of developing countries in the context of meaningful mitigation actions and transparency on implementation.
- Challenges in progress towards achieving the goal of mobilizing jointly USD 100 billion per year to address the needs of developing countries in the context of meaningful mitigation actions and transparency on implementation.
- Lessons learned in the process towards achieving the goal of mobilizing jointly USD 100 billion per year to address the needs of developing countries in the context of meaningful mitigation actions and transparency on implementation.
- Recommendations on possible actions towards achieving the goal of mobilizing jointly USD 100 billion per year to address the needs of developing countries in the context of meaningful mitigation actions and transparency on implementation.

**Annexes****References**

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