



附属履行机构

附属履行机构第三十二届会议报告  
2010年5月31日至6月9日在波恩举行

目录

	段次	页次
一. 会议开幕(议程项目 1).....	1-2	5
二. 组织事项(议程项目 2).....	3-6	5
A. 通过议程.....	3-4	5
B. 安排会议工作.....	5-6	7
三. 《公约》附件一所列缔约方的国家信息通报和 温室气体清单数据(议程项目 3).....	7-15	7
A. 《公约》附件一所列缔约方 1990-2007 年 期间国家温室气体清单数据报告.....	7-9	7
B. 第五次国家信息通报提交和审评情况.....	10-12	8
C. 第六次国家信息通报提交日期.....	13-15	8
四. 非《公约》附件一所列缔约方的国家信息通报 (议程项目 4).....	16-43	8
A. 非《公约》附件一所列缔约方国家信息通 报问题专家咨询小组的工作.....	16-24	8
B. 暂时搁置的议程项目.....		10
C. 进一步执行《公约》第十二条第 5 款.....	25-28	10
D. 提供资金和技术支持.....	29-43	10
五. 《公约》的资金机制(议程项目 5).....	44-59	12
A. 对资金机制的第四次审查.....	44-49	12

B.	全球环境基金提交缔约方会议的报告和对全球环境基金的指导 .....	50-55	13
C.	气候变化特别基金的摊款 .....	56-59	13
六.	《公约》第六条(议程项目 6).....	60-69	14
七.	与《公约》第四条第 8 和第 9 款有关的事项(议程项目 7).....	70-91	15
A.	第 1/CP.10 号决定的执行进展情况 .....	70-74	15
B.	与最不发达国家有关的问题 .....	75-91	15
八.	技术的开发和转让(议程项目 8).....	92-102	17
九.	《公约》之下的能力建设(议程项目 9).....	103-106	19
十.	《京都议定书》之下的能力建设(议程项目 10).....	107-110	19
十一.	对适应基金的审查(议程项目 11).....	111-118	20
十二.	与《京都议定书》第三条第 14 款有关的事项(议程项目 12).....	119-123	21
十三.	《京都议定书》之下附件 B 缔约方的年度汇编和核算报告(议程项目 13).....	124-126	22
十四.	《在与履约有关的程序和机制方面修订《京都议定书》(议程项目 14).....	127-128	22
十五.	哈萨克斯坦提出的修正《京都议定书》附件 B 的提案(议程项目 15).....	129-138	22
十六.	政府间会议的安排(议程项目 16).....	139-168	24
A.	缔约方会议第十六届会议 作为《京都议定书》缔约方会议的《公约》缔约方会议第六届会议 .....	139-148	24
B.	未来会期 .....	149-160	25
C.	政府间进程的安排 .....	161-168	27
十七.	行政、财务和体制事项(议程项目 17).....	169-192	28
A.	2010-2011 两年期预算执行情况 .....	169-173	28
B.	《总部协定》的执行情况 .....	174-179	29
C.	在《京都议定书》之下所设各机构任职的个人的特权和豁免 .....	180-185	30
D.	国际交易日志费的收取方法 .....	186-192	30
十八.	其他事项(议程项目 18).....	193	31

十九.	会议报告(议程项目 19).....	194	31
二十.	会议闭幕 .....	195-199	31
附件			
一.	专家咨询小组成员名单(2010-2011 年).....		33
二.	对资金机制的第四次审查 .....		35
三.	经修订的关于《公约》第六条的新德里工作方案执行进展 中期审查的职权范围 .....		38
四.	供附属履行机构第三十三届会议审议的决定草案案文(关于 适应和应对措施的布宜诺斯艾利斯工作方案的执行情况) .....		40
五.	供附属履行机构第三十三届会议审议的决定草案案文 (《公约》之下的能力建设).....		48
六.	供附属履行机构第三十三届会议审议的决定草案案文 (《京都议定书》之下的能力建设).....		51
七.	对适应基金进行初步审查的职权范围草案.....		53
八.	供附属科学技术咨询机构进一步审议的案文(与《京都议定 书》第三条第 14 款有关的事项).....		55
九.	在《京都议定书》之下所设各机构任职的个人的特权和豁 免: 联络小组拟出的条约安排草案 .....		58
十.	附属履行机构第三十二届会议收到的文件.....		62

增编 – FCCC/SBI/2010/10/Add.1

转交作为《京都议定书》缔约方会议的《公约》缔约方会议  
通过的**决定草案**

决定草案 -/CMP.6. 2012-2013 两年期国际交易日志费的收取方法

## 一. 会议开幕

(议程项目 1)

1. 附属履行机构(履行机构)第三十二届会议于 2010 年 5 月 31 日至 6 月 9 日在德国波恩海洋旅馆举行。
2. 履行机构主席 Robert Owen-Jones 先生(澳大利亚)主持会议开幕, 并欢迎所有缔约方和观察员。他还欢迎 Samuel Ortiz Basualdo 先生(阿根廷)担任履行机构副主席, Kadio Ahossane 先生(科特迪瓦)担任报告员。

## 二. 组织事项

(议程项目 2)

### A. 通过议程

(议程项目 2(a))

3. 履行机构在 5 月 31 日第 1 次会议和第 2 次会议上审议了执行秘书的说明, 其中载有临时议程和说明(FCCC/SBI/2010/1)。10 个缔约方的代表发了言, 其中 1 人以 77 国集团和中国的名义发言、1 人以欧洲联盟及其成员国的名义发言、1 人以伞状集团的名义发言、1 人以小岛屿国家联盟的名义发言、1 人以最不发达国家的名义发言、1 人以非洲集团的名义发言。
4. 在第 2 次会议上, 履行机构通过议程如下, 但分项目 4(b)暂时搁置:
  1. 会议开幕。
  2. 组织事项:
    - (a) 通过议程;
    - (b) 安排会议工作。
  3. 《公约》附件一所列缔约方的国家信息通报和温室气体清单数据:
    - (a) 《公约》附件一所列缔约方 1990-2007 年期间国家温室气体清单数据报告;
    - (b) 第五次国家信息通报提交和审评情况;
    - (c) 第六次国家信息通报提交日期。
    - (d) 非《公约》附件一所列缔约方的国家信息通报;
    - (e) 非《公约》附件一所列缔约方国家信息通报问题专家咨询小组的工作;

- (f) 暂时搁置的议程项目；<sup>1</sup>
  - (g) 进一步执行《公约》第十二条第 5 款；
  - (h) 提供资金和技术支持。
4. 《公约》的资金机制：
    - (a) 对资金机制的第四次审查；
    - (b) 全球环境基金提交缔约方会议的报告和对全球环境基金的指导；
    - (c) 气候变化特别基金的摊款。
  5. 《公约》第六条。
  6. 与《公约》第四条第 8 和第 9 款有关的事项：
    - (a) 第 1/CP.10 号决定的执行进展情况；
    - (b) 与最不发达国家有关的问题。
  7. 技术的开发和转让。
  8. 《公约》之下的能力建设。
  9. 《京都议定书》之下的能力建设。
  10. 对适应基金的审查。
  11. 与《京都议定书》第三条第 14 款有关的事项。
  12. 《京都议定书》之下附件 B 缔约方的年度汇编和核算报告。
  13. 在与履约有关的程序和机制方面修订《京都议定书》。
  14. 哈萨克斯坦提出的修正《京都议定书》附件 B 的提案。
  15. 政府间会议的安排：
    - (a) 缔约方会议第十六届会议；
    - (b) 作为《京都议定书》缔约方会议的《公约》缔约方会议第六届会议；
    - (c) 未来会期；
    - (d) 政府间进程的安排。
  16. 行政、财务和体制事项：
    - (a) 2010-2011 两年期预算执行情况；

<sup>1</sup> 由于没有就是否将这个项目列入议程达成共识，因此，这个项目被暂时搁置。根据主席的建议，履行机构决定将关于非《公约》附件一所列缔约方国家信息通报所载信息的项目列入第三十三届会议的临时议程。

- (b) 《总部协定》的执行情况；
- (c) 在《京都议定书》之下所设各机构任职的个人的特权和豁免；
- (d) 国际交易日志费的收取方法。

17. 其他事项。

18. 会议报告。

## B. 安排会议工作

(议程项目 2(b))

5. 履行机构在 5 月 31 日举行的第 1 次会议上审议了这个分项目，主席在会上提请注意《气候公约》网站上张贴的拟议工作方案。经主席提议，履行机构同意以这个工作方案为基础开展工作。

6. 履行机构同意根据《公约》第七条第 6 款的规定，在不影响缔约方会议以后将采取的行动的情况下临时接纳申请参加会议工作的观察员组织。<sup>2</sup>

## 三. 《公约》附件一所列缔约方的国家信息通报和温室气体清单数据

(议程项目 3)

### A. 《公约》附件一所列缔约方 1990-2007 年期间国家温室气体清单数据报告

(议程项目 3(a))

7. 履行机构在分别于 5 月 31 日和 6 月 9 日举行的第 1 次和第 4 次会议上审议了这个分项目。履行机构收到了 FCCC/SBI/2009/12 号文件。4 个缔约方的代表发了言，其中 1 人以 77 国集团和中国的名义发言、1 人以欧洲联盟及其成员国的名义发言。

8. 在第 1 次会议上，履行机构商定，在由 William Koyo Agyemang-Bonsu 先生(加纳)和 Makio Miyagawa 先生(日本)联合主持的一个联络小组内，连同分项目 3(b)和 3(c)审议一起这个分项目。在第 4 次会议上，Agyemang-Bonsu 先生报告的联络小组的磋商情况。

9. 由于小组未能就这个事项达成结论，根据目前暂时适用的议事规则草案第 16 条，履行机构同意将这个分项目纳入履行机构第三十三届会议临时议程。

<sup>2</sup> 请求予以临时接纳的观察员组织名单列于 FCCC/2010/II/OD/1 号文件的附件。

## B. 第五次国家信息通报提交和审评情况

(议程项目 3(b))

10. 履行机构在分别于 5 月 31 日和 6 月 9 日举行的第 1 次和第 4 次会议上审议了这个分项目。履行机构收到了 FCCC/SBI/2010/INF.1 号文件。4 个缔约方的代表发了言, 其中 1 人以 77 国集团和中国的名义发言、1 人以欧洲联盟及其成员国的名义发言。

11. 在第 1 次会议上, 履行机构商定, 在一个联络小组内连同分项目 3(a)和 3(c)一起审议这个分项目(见以上第 8 段)。

12. 由于小组未能就这个事项达成结论, 根据目前暂时适用的议事规则草案第 16 条, 履行机构同意将这个分项目纳入履行机构第三十三届会议临时议程。

## C. 第六次国家信息通报提交日期

(议程项目 3(c))

13. 履行机构在分别于 5 月 31 日和 6 月 9 日举行的第 1 次和第 4 次会议上审议了这个分项目。履行机构收到了 FCCC/SBI/2009/INF.9 号文件。4 个缔约方的代表发了言, 其中 1 人以 77 国集团和中国的名义发言、1 人以欧洲联盟及其成员国的名义发言。

14. 在第 1 次会议上, 履行机构商定, 在一个联络小组内连同分项目 3(a)和 3(b)一起审议这个分项目(见以上第 8 段)。

15. 由于小组未能就这个事项达成结论, 根据目前暂时适用的议事规则草案第 16 条, 履行机构同意将这个分项目纳入履行机构第三十三届会议临时议程。此外, 77 国集团和中国提请在履行机构第三十三届会议临时议程中再增加一个分项目, 题为“进一步执行《公约》第十二条第 5 款”。

## 四. 非《公约》附件一所列缔约方的国家信息通报

(议程项目 4)

### A. 非《公约》附件一所列缔约方国家信息通报问题专家咨询小组的工作

(议程项目 4(a))

#### 1. 议事情况

16. 履行机构在分别于 5 月 31 日和 6 月 9 日举行的第 1 次和第 4 次会议上审议了这个分项目。履行机构收到了 FCCC/SBI/2010/INF.2 号文件。3 个缔约方的代表发了言, 其中 1 人以 77 国集团和中国的名义发言。



17. 在第 1 次会议上，主席向履行机构通报了非《公约》附件一缔约方国家信息通报问题专家咨询小组(专家咨询小组)的成员情况(见附件一)，并请专家咨询小组主席 Eric Kamoga Mugurusi 先生(坦桑尼亚联合共和国)发言。

18. 在同次会议上，履行机构商定，在由 Agyemang-Bonsu 先生和 Miyagawa 先生联合主持的一个联络小组内，连同分项目 4(c)和(d)一起审议这个分项目。在第 4 次会议上，Miyagawa 先生报告了联络小组的磋商情况。

19. 在第 4 次会议上，履行机构审议并通过了主席提出的结论。<sup>3</sup>

## 2. 结论

20. 履行机构欢迎非《公约》附件一缔约方国家信息通报问题专家咨询小组(专家咨询小组)的重组，并祝贺小组的新成员。履行机构着重指出该小组的工作十分重要，并强调为非《公约》附件一缔约方(非附件一缔约方)提供技术咨询和支持的重要性，包括对尚未完成初次国家信息通报的缔约方提供咨询和支持，以便改进其国家信息通报进程和编制。

21. 履行机构赞扬专家咨询小组于 2010 年 3 月在德国波恩举行的第一次会议上的工作，并欢迎专家咨询小组的进度报告。<sup>4</sup> 履行机构注意到并欢迎载于该项报告中的专家咨询小组 2010-2012 年的工作方案。

22. 履行机构鼓励《公约》附件二所列缔约方和其他有能力的缔约方提供资金和其他相关的技术支持，帮助专家咨询小组实施其工作方案。

23. 履行机构请专家咨询小组在实施其工作方案中考虑到非附件一缔约方当前和今后的需要，并考虑《公约》的规定以及缔约方会议的相关决定。

24. 履行机构注意到，专家咨询小组按照其依据载于第 5/CP.15 号决定附件第 2(a-c)段中的职权范围而制定的工作方案进行了两次调查，并请非附件一缔约方及时向专家咨询小组提供所需信息。履行机构强调指出，专家咨询小组在举办工作方案中所确定的研讨会时，重点应是职权范围的第 2(c)段，并应尽可能侧重第 2(a)段所指工作。<sup>5</sup>

<sup>3</sup> 作为 FCCC/SBI/2010/L.18 号文件通过。

<sup>4</sup> FCCC/SBI/2010/INF.2。

<sup>5</sup> 第 5/CP.15 号决定，附件。

**B. 暂时搁置的议程项目**  
(议程项目 4(b)暂时搁置)

**C. 进一步执行《公约》第十二条第 5 款**  
(议程项目 4(c))

**1. 议事情况**

25. 履行机构在分别于 5 月 31 日和 6 月 9 日举行的第 1 次和第 4 次会议上审议了这个分项目。2 个缔约方的代表发了言，其中 1 人以 77 国集团和中国的名义发言。

26. 在第 1 次会议上，履行机构商定，在一个联络小组内，连同分项目 4(a)和(d)一起审议这个分项目(见以上第 18 段)。

27. 在第 4 次会议上，履行机构审议并通过了主席提出的结论。<sup>6</sup>

**2. 结论**

28. 由于小组未能就此事项达成结论，履行机构将在第三十三届会议上继续审议这个议程分项。

**D. 提供资金和技术支持**  
(议程项目 4(d))

**1. 议事情况**

29. 履行机构在分别于 5 月 31 日和 6 月 9 日举行的第 1 次和第 4 次会议上审议了这个分项目。履行机构收到了 FCCC/SBI/2009/INF.11 和 FCCC/SBI/2010/INF.3 号文件。13 个缔约方的代表发了言，其中 1 人以 77 国集团和中国的名义发言、1 人以欧洲联盟及其成员国的名义发言。

30. 在第 1 次会议上，主席请全球环境基金(环境基金)秘书处代表发言。

31. 在同次会议上，履行机构商定，在一个联络小组内，连同分项目 4(a)和(c)一起审议这个分项目(见以上第 18 段)。

32. 在第 4 次会议上，履行机构审议并通过了主席提出的结论。<sup>7</sup>

<sup>6</sup> 作为 FCCC/SBI/2010/L.20 号文件通过。

<sup>7</sup> 作为 FCCC/SBI/2010/L.17 号文件通过。

## 2. 结论

33. 履行机构注意到环境基金秘书处提供的关于为非附件一缔约方编制国家信息通报提供资金支持的信息。<sup>8</sup>

34. 履行机构请环境基金继续提供关于它为非附件一缔约方编制国家信息通报开展的活动的信息<sup>9</sup>，并确保此种信息详细、准确、及时和完整，包括资助批准日期和资金拨付日期的信息。它还请环境基金提供完成国家信息通报草稿的大概日期和向秘书处提交国家信息通报的大概日期，以便履行机构第三十三届会议审议。

35. 履行机构请环境基金根据《公约》第十一条提供详细、准确、及时和完整的信息，说明最近举行的环境基金大会<sup>10</sup>与非附件一缔约方国家信息通报有关的结果，包括资助编制国家信息通报的透明拨款系统的有关问题，以及环境基金为确保高效率及时提供资金以支付发展中国家缔约方履行《公约》第十二条第 1 款之下义务所发生的全部议定费用而建立的模式和程序。

36. 履行机构注意到环境基金的代表宣布环境基金第四次充资活动已经结束。

37. 履行机构忆及缔约方会议在第 7/CP.13 和 4/CP.14 号决定中请环境基金酌情协助非附件一缔约方根据《公约》第十二条第 4 款和第 5/CP.11 号决定第 2 段拟订和编制在国家信息通报中提出的项目建议书。它请环境基金在提交第十六届缔约方会议的报告中就已提交的或已核准的此种项目建议书提出报告。

38. 履行机构注意到一些非附件一缔约方对环境基金执行机构拨付国家信息通报资金的方式表示关切，请环境基金在提交缔约方会议第十六届会议的报告中说明采取了哪些具体步骤回应这些关切。

39. 履行机构鼓励环境基金根据第 4/CP.14 号决定，继续最优先考虑确保提供充足资金，支付发展中国家缔约方履行《公约》第十二条第 1 款之下的义务所发生的全部议定费用，以及编制第三次和以后各次国家信息通报所发生的全部议定费用。

40. 履行机构赞赏地注意到，截至 2010 年 6 月，非附件一缔约方已提交了 23 份第二次国家信息通报；截至 2010 年 3 月，77 个非附件一缔约方预期将完成其第二次国家信息通报草稿，1 个缔约方将于 2010 年底完成第三次国家信息通报。

41. 履行机构强调应该根据《公约》第四条第 3 款及时提供非附件一缔约方编制国家信息通报所需要的资金。

<sup>8</sup> FCCC/CP/2009/9、FCCC/SBI/2009/INF.11 和 FCCC/SBI/2010/INF.3。

<sup>9</sup> 第 10/CP.2 号决定，第 1(b)段。

<sup>10</sup> 2010 年 5 月举行的。

42. 履行机构注意到一些非缔约方表示关切通过“快速程序”为编制国家信息通报提供的资金不足，一些非附件一缔约方无法在编制国家信息通报过程中开展相关活动。

43. 履行机构鼓励非附件一缔约方在完成目前的国家信息通报之前提出关于为以后的国家信息通报提供资金支持的建议书，以确保供资的连续性。它强调维持国家技术队伍对编制国家信息通报十分重要。

## 五. 《公约》的资金机制

(议程项目 5)

### A. 对资金机制的第四次审查

(议程项目 5(a))

#### 1. 议事情况

44. 履行机构在分别于 5 月 31 日和 6 月 9 日举行的第 1 次和第 4 次会议上审议了这个分项目。履行机构收到了 FCCC/SBI/2009/MISC.10 和 Add.1 号文件。5 个缔约方的代表发了言，其中 1 人以 77 国集团和中国的名义发言。

45. 在第 1 次会议上，履行机构商定，在由 Zaheer Fakir 先生(南非)和 Sandrine de Guio 女士(法国)联合主持的一个联络小组内，连同分项目 5(b)和(c)一起审议这个分项目。在第 4 次会议上，de Guio 女士报告了联络小组的磋商情况。

46. 在第 4 次会议上，履行机构审议并通过了主席提出的结论。<sup>11</sup>

#### 2. 结论

47. 履行机构决定，在第三十三届会议上，以附件二所载草案为基础，完成对本分项目之下问题的审议，以期作为建议提出一项决定草案，供缔约方会议第十六届会议通过。

48. 履行机构注意到第二十八届会议请求<sup>12</sup>的落实情况，履行机构在审议对资金机制的第四次审查时，请秘书处提供关于非附件一缔约方通过国家经济、环境和发展研究(NEEDS)执行缓解和适应措施的资金需要评估的信息，在挪威、美利坚合众国和西班牙政府的支持下，11 个非附件一缔约方参加了该项研究。

49. 履行机构请秘书处汇编和综合这 11 个国家的 NEEDS 报告中所载信息，供履行机构第三十三届会议审议。

<sup>11</sup> 作为 FCCC/SBI/2010/L.15 号文件通过。

<sup>12</sup> FCCC/SBI/2008/8, 第 30 段。

## B. 全球环境基金提交缔约方会议的报告和对全球环境基金的指导 (议程项目 5(b))

### 1. 议事情况

50. 履行机构在分别于 5 月 31 日和 6 月 9 日举行的第 1 次和第 4 次会议上审议了这个分项目。履行机构收到了 FCCC/CP/2009/9 号文件。2 个缔约方的代表发了言，其中 1 人以小岛屿国家联盟的名义发言。

51. 在第 4 次会议上，履行机构商定，在一个联络小组内，连同分项目 5(a)和 (c)一起审议这个分项目(见以上第 45 段)。

52. 在第 4 次会议上，履行机构审议并通过了主席提出的结论。<sup>13</sup>

### 2. 结论

53. 履行机构决定在第三十三届会议上继续审议该分项目下的各项问题，以期作为建议提出一项决定草案，供缔约方会议第十六届会议通过。该结论草案将纳入其他相关议程项目下的讨论结果，以及依据但不限于资金机制的一个经营实体——环境基金——的报告向缔约方会议第十六届会议提供的进一步指导。

54. 履行机构请环境基金在提交缔约方会议第十六届会议的报告提供信息，说明环境基金第五个补充资金周期的结果。

56. 履行机构还请各缔约方在 2010 年 9 月 20 日之前向秘书处提交关于制订对环境基金的指导意见时应考虑的因素的意见，并请秘书处把收到的材料汇编成一份杂项文件，供履行机构第三十三届会议审议。

## C. 气候变化特别基金的摊款 (议程项目 5(c))

### 1. 议事情况

56. 履行机构在分别于 5 月 31 日和 6 月 9 日举行的第 1 次和第 4 次会议上审议了这个分项目。1 个缔约方的代表以 77 国集团和中国的名义发了言。

57. 在第 4 次会议上，履行机构商定，在一个联络小组内，连同分项目 5(a)和 (b)一起审议这个分项目(见以上第 45 段)。

58. 在第 4 次会议上，履行机构审议并通过了主席提出的结论。<sup>14</sup>

### 2. 结论

59. 履行机构同意在第三十三届会议上完成对该分项目下各项问题的审议。

<sup>13</sup> 作为 FCCC/SBI/2010/L.16 号文件通过。

<sup>14</sup> 作为 FCCC/SBI/2010/L.19 号文件通过。

## 六. 《公约》第六条

(议程项目 6)

### 1. 议事情况

60. 履行机构在分别于 5 月 31 日和 6 月 9 日举行的第 2 次和第 4 次会议上审议了这个分项目。履行机构收到了 FCCC/SBI/2010/2、FCCC/SBI/2010/3 和 FCCC/SBI/2010/9 号文件。1 个缔约方的代表发了言。此外，青年非政府组织以及妇女和性别问题非政府组织的代表也发了言。

61. 在第 2 次会议上，履行机构商定，在由 Liana Bratasida 女士(印度尼西亚)主持的一个联络小组内审议这个项目。在第 4 次会议上，Bratasida 女士报告了联络小组的磋商情况。

62. 在第 4 次会议上，履行机构审议并通过了主席提出的结论。<sup>15</sup>

### 2. 结论

63. 履行机构注意到欧洲(瑞典斯德哥尔摩，2009 年 5 月 18 日至 20 日)、亚洲和太平洋(印度尼西亚巴厘岛，2009 年 10 月 14 日至 16 日)、拉丁美洲和加勒比(多米尼加共和国巴瓦罗，2010 年 4 月 27 日至 30 日)就《公约》第六条执行问题举行的区域专题研讨会的报告，<sup>16</sup> 这些报告为经修订的关于《公约》第六条的新德里工作方案执行进展中期审查提供了有用的投入。

64. 履行机构请有能力的缔约方按照第 9/CP.13 号决定，作为紧急事项，为在非洲和小岛屿发展中国家等最脆弱地区举行筹划已久的有关《公约》第六条执行问题区域专题研讨会提供资金。

65. 履行机构还请有能力的缔约方按照第 9/CP.13 号决定，为信息网络交换所(CC: iNet)的全面实施提供资金。

66. 履行机构核准了附件所载有关经修订的新德里工作方案执行进展中期审查的职权范围。

67. 履行机构请缔约方、相关政府间组织和非政府组织以及相关利害关系方在 2010 年 8 月 16 日之前向秘书处提交可能与完成中期审查相关的信息和意见，包括提供相关信息介绍执行经修订的新德里工作方案的最佳做法和经验教训，以及妨碍《公约》第六条有效执行的其他障碍。

68. 履行机构请秘书处按照职权范围，为支持中期审查编写报告，供第三十三届会议审议。

<sup>15</sup> 作为 FCCC/SBI/2010/L.5 号文件通过。

<sup>16</sup> FCCC/SBI/2010/2、FCCC/SBI/2010/3 和 FCCC/SBI/2010/9。

69. 履行机构鼓励缔约方考虑是否有机会吸收相关利害关系方参与与中期审查相关的国家进程。

## 七. 与《公约》第四条第 8 和第 9 款有关的事项

(议程项目 7)

### A. 第 1/CP.10 号决定的执行进展情况

(议程项目 7(a))

#### 1. 议事情况

70. 履行机构在分别于 5 月 31 日和 6 月 9 日举行的第 2 次和第 4 次会议上审议了这个分项目。履行机构收到了 FCCC/SBI/2010/MISC.1 和 Add.1 号文件。1 个缔约方的代表以小岛屿国家联盟的名义发了言。

71. 在第 2 次会议上，履行机构商定，在由 Ortiz Basualdo 先生主持的一个联络小组内审议这个分项目。在第 4 次会议上，Ortiz Basualdo 先生报告了联络小组的磋商情况。

72. 在第 4 次会议上，履行机构审议并通过了主席提出的结论。<sup>17</sup>

#### 2. 结论

73. 履行机构注意到在第三十一届会议报告所指本机构提出的请求之后编写的决定草案案文。<sup>18</sup>

74. 履行机构同意在第三十三届会议上根据附件四所载决定草案继续审议这一事项，以期作为建议提出一项决定草案，供缔约方会议第十六届会议通过。

### B. 与最不发达国家有关的问题

(议程项目 7(b))

#### 1. 议事情况

75. 履行机构在分别于 5 月 31 日和 6 月 9 日举行的第 2 次和第 4 次会议上审议了这个分项目。履行机构收到了 FCCC/SBI/2010/5 号文件。8 个缔约方的代表发了言，其中 1 人以 77 国集团和中国的名义发言、2 人以最不发达国家的名字发言。

76. 在第 2 次会议上，履行机构商定，通过 Rence Sore 先生(所罗门群岛)召集的非正式磋商审议这个分项目。在第 4 次会议上，Sore 先生报告了磋商情况。

<sup>17</sup> 作为 FCCC/SBI/2010/L.7 号文件通过。

<sup>18</sup> FCCC/SBI/2009/15, 第 39 段。

77. 也是在第 2 次会议上，主席请最不发达国家专家组(专家组)主席 Fred Machulu Onduri 先生(乌干达)发言。

78. 在第 4 次会议上，履行机构审议并通过了主席提出的结论。<sup>19</sup>

## 2. 结论

79. 履行机构注意到最不发达国家专家组(专家组)主席的口头报告，并欢迎 2010 年 4 月 12 日至 14 日在德国波恩举行的专家组第十七次会议的报告。<sup>20</sup>

80. 履行机构感谢加拿大、爱尔兰、西班牙和瑞士政府为支持专家组的工作提供资金，并感谢巴西政府对专家组工作的支持。

81. 履行机构赞赏地注意到一些缔约方对最不发达国家基金的捐助，并鼓励其他缔约方也这样做。

82. 履行机构欢迎截至 2010 年 5 月 28 日缔约方已向秘书处提交了 44 份国家适应行动方案。它注意到专家组在协助最不发达国家缔约方编制国家适应行动方案方面所发挥的重要作用。履行机构请专家组与环境基金及其机构合作，继续协助尚未完成国家适应行动方案的最不发达国家尽快完成和提交国家适应行动方案。

83. 履行机构赞赏专家组作为其工作方案的部分内容为支持国家适应行动方案的编制和执行工作所开展的活动，并欢迎专家组在 2009-2010 年期间举办的关于国家适应行动方案执行工作的区域培训研讨会。

84. 履行机构感谢马里和老挝人民民主共和国政府分别于 2010 年 3 月 8 日至 12 日在巴马科和 2010 年 5 月 4 日至 8 日在万象主办关于国家适应行动方案执行工作的培训研讨会。

85. 履行机构请秘书处编写一份关于以上第 83 段所述区域培训研讨会的报告，在第三十三届会议前提供。

86. 履行机构鼓励希望更新其国家适应行动方案和修订国家适应行动方案所载项目清单及概述的最不发达国家缔约方，使用专家组第十六次会议报告所载指南，<sup>21</sup> 并且在必要时请求专家组提供技术援助。

87. 履行机构请专家组，作为其 2010 年工作方案的执行工作，提供信息说明修订和更新国家适应行动方案的必要性，并说明所需资源的情况。

88. 履行机构注意到专家组就环境基金执行第 5/CP.14 号决定第 2 段的事宜所建议的方法。<sup>22</sup>

<sup>19</sup> 作为 FCCC/SBI/2010/L.2/Rev.1 号文件通过。

<sup>20</sup> FCCC/SBI/2010/5。

<sup>21</sup> FCCC/SBI/2009/13，附件一。

<sup>22</sup> FCCC/SBI/2010/5，第 31-33 段。



89. 履行机构鼓励专家组继续与环境基金对话，并继续就此对话提出报告。
90. 履行机构请专家组向其随时通报在执行 2010 年工作方案方面专家组所做的努力情况。
91. 履行机构请有能力的缔约方，为支持专家组工作方案的执行工作提供资源，包括为以上第 83 段所述关于国家适应行动方案执行工作的培训研讨会的余下部分提供资源。

## 八. 技术的开发和转让

(议程项目 8)

### 1. 议事情况

92. 履行机构在分别于 5 月 31 日和 6 月 9 日举行的第 2 次和第 4 次会议上审议了这个项目。履行机构收到了 FCCC/SB/2010/INF.1 和 Corr.1、FCCC/SBI/2010/INF.4、FCCC/SBI/2010/MISC.3、FCCC/SBI/2010/INF.6 以及 FCCC/SBI/2010/4 号文件。4 个缔约方的代表发了言。
93. 在第 2 次会议上，主席请技术转让专家组(技转组)副主席 Nagmeldin Goutbi Elhassan 先生(苏丹)报告技转组的活动情况。在同次会议上，主席请环境基金秘书处代表报告波兹南技术转让战略方案的执行进展情况。
94. 也是在第 2 次会议上，履行机构商定，在由 Carlos Fuller 先生(伯利兹)和 Ronald Schillemans 先生(荷兰)联合主持的一个联合联络小组内，与附属科学技术咨询机构(科技咨询机构)一起审议这个项目。在第 4 次会议上，Fuller 先生报告了联合联络小组的磋商情况。
95. 在第 4 次会议上，履行机构审议并通过了主席提出的结论。<sup>23</sup>

### 2. 结论

96. 履行机构和科技咨询机构欢迎 Bruce Wilson 先生(澳大利亚)当选为 2010 年技术转让专家组(技转组)主席，Nagmeldin Goutbi Elhassan 先生(苏丹)当选为副主席，还欢迎各缔约方提名专家担任 2010 年技转组成员。<sup>24</sup>
97. 履行机构和科技咨询机构欢迎技转组的报告<sup>25</sup>，并注意到技转组副主席口头报告了技转组 2010 年 2 月 22 日至 23 日在澳大利亚悉尼举行的会议和 2010 年 5 月 27 日至 28 日在德国波恩举行的会议的结果。

<sup>23</sup> 作为 FCCC/SBI/2010/L.3 号文件通过。

<sup>24</sup> FCCC/SB/2010/INF.1，附件二。

<sup>25</sup> FCCC/SB/2010/INF.1。

98. 履行机构和科技咨询机构核可了经增订的技转组 2010-2011 年工作方案。<sup>26</sup> 它们请技转组在开展经增订的工作方案中活动 4.3 和活动 4.4 的工作时，将重点放在各缔约方在《公约》之下的长期合作行动问题特设工作组中讨论相关技术问题达成高度一致的领域。它们还请技转组在开展这些活动时详细提出以下机构的业务模式备选办法：

(a) 拟议的技术执行委员会，以 FCCC/AWGLCA/2010/6 号文件附件三第 7(a-d)、(g)和(i)段所列职能为基础；

(b) 拟议的气候技术中心和气候技术网络，以 FCCC/AWGLCA/2010/6 号文件附件三第 10(a-c)和(d) (1-5)段所列职能为基础。

99. 履行机构和科技咨询机构忆及，第三十届和第三十一届会议结论认为，应考虑确定一种切实有效的手段，协助私营部门更加全面地参与这一进程。<sup>27</sup> 它们欢迎技转组在会议期间继续同时举行与企业界的对话会，鼓励技转组继续进行此种对话，但要确保发达国家和发展中国家之间的均衡代表性。它们请技转组考虑各种改进与学术界和民间团体交流的办法。它们注意到气候技术倡议的私营融资咨询网在增加其活动。

100. 履行机构忆及各缔约方和有关组织就第 2/CP.14 号决定所述职权范围第四节所列重点领域提出的意见<sup>28</sup> 和秘书处为履行机构第三十届会议审议而编写的这些意见的综合报告<sup>29</sup>。履行机构还注意到一个缔约方应履行机构第三十届会议邀请提交的进一步资料<sup>30</sup>，以及秘书处编写的有关这些意见的更新综合报告<sup>31</sup>。

101. 履行机构欢迎秘书处关于审查和评估《公约》第四条第 1 款(c)项和第 5 款执行有效性的报告。<sup>32</sup> 它注意到关于各缔约方和其他有关组织在《公约》内外技术开发和转让进程中采取的步骤的报告中所提供的信息。履行机构强调报告中所载意见和结论十分有用，可以加强技术开发和转让的行动，包括审查进程。履行机构还注意到支持审查和评估活动中所面临的获得数据和收集数据的挑战。

102. 履行机构注意到环境基金关于波兹南技术转让战略方案执行进展情况的报告。<sup>33</sup> 履行机构期待着在第三十三届会议上收到该方案执行进展情况的报告，以期评估进展情况和未来方向，以此协助缔约方在根据第 2/CP.14 号决定审议战

<sup>26</sup> FCCC/SB/2010/INF.1, 附件一。

<sup>27</sup> FCCC/SBSTA/2009/3, 第 22 段；FCCC/SBI/2009/8, 第 66 段；FCCC/SBSTA/2009/8, 第 23 段；FCCC/SBI/2009/15, 第 64 段。

<sup>28</sup> FCCC/SBI/2009/MISC.4。

<sup>29</sup> FCCC/SBI/2009/INF.1。

<sup>30</sup> FCCC/SBI/2010/MISC.3。

<sup>31</sup> FCCC/SBI/2010/INF.6。

<sup>32</sup> FCCC/SBI/2010/INF.4。

<sup>33</sup> FCCC/SBI/2010/4。

略方案长期执行需求时能够了解情况。履行机构请环境基金提供在波兹南技术转让战略方案下获得支持的活动的半年执行进展情况报告，以贴在技术信息交换所网站 TT: CLEAR 上。

## 九. 《公约》之下的能力建设

(议程项目 9)

### 1. 议事情况

103. 履行机构在分别于 5 月 31 日和 6 月 9 日举行的第 1 次和第 4 次会议上审议了这个项目。履行机构收到了 FCCC/SBI/2009/4、FCCC/SBI/2009/5、FCCC/SBI/2009/MISC.1、FCCC/SBI/2009/MISC.2、FCCC/CP/2009/9、FCCC/SBI/2009/10、FCCC/SBI/2009/MISC.8 和 FCCC/SBI/2009/MISC.12/Rev.1 号文件。2 个缔约方的代表发了言，其中 1 人以 77 国集团和中国的名义发言。

104. 在第 1 次会议上，履行机构商定，在由 Philip Gwage 先生(乌干达)和 Marie Jaudet 女士(法国)联合主持的一个联络小组内审议这个项目。在第 4 次会议上，Gwage 先生报告了联络小组的磋商情况。

105. 在第 4 次会议上，履行机构审议并通过了主席提出的结论。<sup>34</sup>

### 2. 结论

106. 履行机构决定在第三十三届会议上以附件五所载草案为基础继续审议这个议程项目，以期作为建议提出一项关于这个议题的决定草案，供缔约方会议第十六届会议通过。

## 十. 《京都议定书》之下的能力建设

(议程项目 10)

### 1. 议事情况

107. 履行机构在分别于 5 月 31 日和 6 月 9 日举行的第 1 次和第 4 次会议上审议了这个项目。履行机构收到了 FCCC/SBI/2009/4、FCCC/SBI/2009/5、FCCC/SBI/2009/MISC.1、FCCC/SBI/2009/MISC.2、FCCC/KP/CMP/2009/16、FCCC/SBI/2009/10、FCCC/SBI/2009/MISC.8 和 FCCC/SBI/2009/MISC.12/Rev.1 号文件。1 个缔约方的代表以 77 国集团和中国的名义发了言。

108. 在第 1 次会议上，履行机构商定，在由 Gwage 先生和 Jaudet 女士联合主持的一个联络小组内审议这个项目。在第 4 次会议上，Gwage 先生报告了联络小组的磋商情况。

<sup>34</sup> 作为 FCCC/SBI/2010/L.11 号文件通过。

109. 在第 4 次会议上，履行机构审议并通过了主席提出的结论。<sup>35</sup>

## 2. 结论

110. 履行机构决定在第三十三届会议上以附件六所载草案为基础继续审议这个议程项目，以期作为建议提出一项关于这个议题的决定草案，供作为《京都议定书》缔约方会议的《公约》缔约方会议(《议定书》/《公约》缔约方会议)第六届会议通过。

# 十一. 对适应基金的审查

(议程项目 11)

## 1. 议事情况

111. 履行机构在分别于 5 月 31 日和 6 月 9 日举行的第 2 次和第 4 次会议上审议了这个项目。履行机构收到了 FCCC/SBI/2010/MISC.2 和 FCCC/SBI/2010/7 号文件。16 个缔约方的代表发了言，其中 1 人以 77 国集团和中国的名义发言、1 人以欧洲联盟及其成员国的名义发言、1 人以最不发达国家的名义发言、1 人以小岛屿国家联盟的名义发言。

112. 在第 1 次会议上，履行机构商定，在由 Ruleta Camacho 女士(安提瓜和巴布达)和 Jukka Uosukainen 先生(芬兰)联合主持的一个联络小组内审议这个项目。在第 4 次会议上，Camacho 女士报告了联络小组的磋商情况。

113. 在第 4 次会议上，履行机构审议并通过了主席提出的结论。<sup>36</sup>

## 2. 结论

114. 履行机构注意到缔约方提交材料中所载的意见和建议。<sup>37</sup>

115. 履行机构审议了但却未能充分涵盖缔约方提出供纳入附件所载职权范围的额外问题，并指出，适应基金仅在最近才充分运作。履行机构还注意到，目前规定的时限不能保证及时提供相关投入，筹备对适应基金进行透彻审查。

116. 履行机构的结论是，履行机构无法按照第 5/CMP.5 号决定的要求，最终确定附件所载职权范围，以便作为《京都议定书》缔约方会议的《公约》缔约方会议(《议定书》/《公约》缔约方会议)第六届会议对有关适应基金的所有事项进行审查，包括体制安排。

<sup>35</sup> 作为 FCCC/SBI/2010/L.12 号文件通过。

<sup>36</sup> 作为 FCCC/SBI/2010/L.13 号文件通过。

<sup>37</sup> FCCC/SBI/2010/MISC.2。

117. 履行机构还注意到,《议定书》缔约方会议第六届会议需审议与适应基金托管人所作的临时安排,以确保业已供资和执行进程中的任何项目活动不受影响。

118. 鉴于以上第 115 和第 116 段,履行机构同意,建议《议定书》/《公约》缔约方会议第六届会议考虑在《议定书》/《公约》缔约方会议第七届会议上对适应基金进行审查,建议《议定书》/《公约》缔约方会议第六届会议采取措施便利这项工作,包括通过职权范围和着手开展审查。

## 十二. 与《京都议定书》第三条第 14 款有关的事项

(议程项目 12)

### 1. 议事情况

119. 履行机构在分别于 5 月 31 日和 6 月 9 日举行的第 2 次和第 4 次会议上审议了这个项目。1 个缔约方的代表以最不发达国家的名义发了言。

120. 在第 2 次会议上,履行机构商定,在由 Eduardo Calvo Buendia 先生(秘鲁)和 Andrew Ure 先生(澳大利亚)联合主持的一个联合联络小组内,连同科技咨询机构议程项目“与《京都议定书》第二条第 3 款有关的问题”一起审议这个项目。在第 4 次会议上,Ure 先生报告了联合联络小组的磋商情况。

121. 在第 4 次会议上,履行机构审议并通过了主席提出的结论。<sup>38</sup>

### 2. 结论

122. 履行机构和科技咨询机构设立了一个联合联络小组,以便在两机构第三十二届会议期间讨论履行机构的议程项目“与《京都议定书》第三条第 14 款有关的事项”,和科技咨询机构的议程项目“与《京都议定书》第二条第 3 款有关的问题”。在成立该联合联络小组时,履行机构和科技咨询机构的主席指示,每个项目安排的审议时间应当相等。

123. 履行机构和科技咨询机构同意,在两机构的第三十三届会议上继续在一个拟由履行机构和科技咨询机构成立的联合联络小组中讨论这些事项。两机构他哦你同意,以附件八所载的案文草案为基础,在第三十三届会议上继续审议这些事项。

<sup>38</sup> 作为 FCCC/SBI/2010/L.14 号文件通过。

### 十三. 《京都议定书》之下附件 B 缔约方的年度汇编和核算报告

(议程项目 13)

124. 履行机构在分别于 5 月 31 日和 6 月 9 日举行的第 1 次和第 4 次会议上审议了这个项目。履行机构收到了 FCCC/KP/CMP/2009/15 和 Add.1 号文件。2 个缔约方的代表发了言。

125. 在第 1 次会议上, 履行机构商定, 在由 Agyemang-Bonsu 先生和 Miyagawa 先生联合主持的一个联络小组内审议这个项目。在第 4 次会议上, Agyemang-Bonsu 先生报告了联络小组的磋商情况。

126. 由于小组未能就这个事项达成结论, 根据目前暂时适用的议事规则草案第 16 条, 履行机构同意将这个项目纳入履行机构第三十三届会议临时议程。

### 十四. 《在与履约有关的程序和机制方面修订《京都议定书》

(议程项目 14)

127. 履行机构在分别于 5 月 31 日和 6 月 9 日举行的第 2 次和第 4 次会议上审议了这个项目。履行机构收到了 FCCC/KP/CMP/2005/2 号文件。

128. 在第 2 次会议上, 主席宣布说, 他将与感兴趣的缔约方进行磋商, 并在闭幕全体会议上向履行机构报告磋商结果。在第 4 次会议上, 主席报告说, 已经商定在履行机构第三十三届会议上继续进一步讨论这个问题并将此项目纳入该届会议临时议程。

### 十五. 哈萨克斯坦提出的修正《京都议定书》附件 B 的提案

(议程项目 15)

#### 1. 议事情况

129. 履行机构在分别于 5 月 31 日和 6 月 9 日举行的第 2 次和第 4 次会议上审议了这个项目。履行机构收到了 FCCC/SBI/2010/6 号文件。1 个缔约方的代表发了言。

130. 在第 2 次会议上, 履行机构商定, 通过由 Mark Berman 先生(加拿大)召集的非正式磋商审议这个议程项目。在第 4 次会议上, Berman 先生报告了磋商情况。

131. 在第 4 次会议上, 履行机构审议并通过了主席提出的结论。<sup>39</sup>

<sup>39</sup> 作为 FCCC/SBI/2010/L.6 号文件通过。

## 2. 结论

132. 履行机构注意到哈萨克斯坦 2009 年 9 月 18 日送交秘书处的提案，其中提出修正《京都议定书》附件 B，将哈萨克斯坦包括进去，该国在 2008 至 2012 年承诺期内《京都议定书》第三条之下的温室气体排放数量限制或减少承诺为 1992 年水平的 100%，并用脚注说明该国正处于向市场经济过渡期。

133. 履行机构还注意到，哈萨克斯坦分别于 1998 年 11 月 5 日和 2009 年 6 月 4 日提交了第一次和第二次国家信息通报，于 2010 年 4 月 9 日提交了 2010 年温室气体清单报告。

134. 履行机构赞赏地注意到，哈萨克斯坦努力执行《京都议定书》的各项规定。

135. 履行机构忆及《议定书》/《公约》缔约方会议第五届会议通过的结论。<sup>40</sup> 履行机构注意到，按照《议定书》/《公约》缔约方会议第五届会议的要求，<sup>41</sup> 秘书处计划于 2010 年 8 月由一个专家审评组对哈萨克斯坦提交的 2010 年温室气体清单进行一次国内审评，审评报告将按照第 19/CP.8 号决定附件所载“《公约》附件一所列缔约方温室气体清单技术审评指南”规定的时限和程序公布。履行机构还注意到，按照《议定书》/《公约》缔约方会议第五届会议的要求，<sup>42</sup> 秘书处已于 2010 年 1 月 21 日依照《议定书》第二十一条第 3 款将关于修正《京都议定书》附件 B 的提案送交《京都议定书》各缔约方及《公约》各缔约方和签署方，并于 2010 年 1 月 6 日将其送交保存人以供参考。

136. 履行机构得出结论认为，《议定书》/《公约》缔约方会议在第六届会议对该提案的审议中，不妨侧重于提案所涉法律和技术问题，特别是有关哈萨克斯坦提出的温室气体排放数量限制或减少承诺和基准年问题，以及推定的第一个承诺期的排放数量限制和减少承诺问题。

137. 为便利《议定书》/《公约》缔约方会议第六届会议审议本项目，履行机构鼓励感兴趣的缔约方之间在闭会期间就这些问题进一步磋商。

138. 履行机构注意到，在选择基准年和排放数量限制或减少承诺方面，哈萨克斯坦愿意表现出灵活的态度。<sup>43</sup> 履行机构还注意到，哈萨克斯坦目前正在开发一个国家限量制度和交易系统，以履行其在《京都议定书》之下以及任何未来减排制度之下的承诺。

<sup>40</sup> FCCC/KP/CMP/2009/21，第 88-94 段。

<sup>41</sup> FCCC/KP/CMP/2009/21，第 93 段。

<sup>42</sup> 同以上脚注 41。

<sup>43</sup> 即，将基准年从 1992 年改为 1990 年，承诺在 1990 年基础上减少 6%。

## 十六. 政府间会议的安排

(议程项目 16)

### A. 缔约方会议第十六届会议

(议程项目 16(a))

#### 作为《京都议定书》缔约方会议的《公约》缔约方会议第六届会议

(议程项目 16(b))

##### 1. 议事情况

139. 履行机构在分别于 5 月 31 日和 6 月 9 日举行的第 2 次和第 4 次会议上审议了这两个分项目。履行机构收到了 FCCC/SBI/2010/8 号文件。23 个缔约方的代表发了言，其中 1 人以 77 国集团和中国的名义发言、1 人以欧洲联盟及其成员国的名义发言。此外，环境非政府组织的 1 个代表也发了言。

140. 主席感谢墨西哥政府代表提供信息介绍承办《公约》机构 11 月和 12 月会议的筹备情况。

141. 在第 2 次会议上，履行机构商定，在由 Owen-Jones 先生主持的一个联络小组内，连同分项目 16 (c)和(d)审议这两个分项目。在第 4 次会议上，Owen-Jones 先生报告了联络小组的磋商情况。

142. 在第 4 次会议上，履行机构审议并通过了主席提出的结论。<sup>44</sup>

##### 2. 结论

143. 履行机构感谢墨西哥政府慷慨提出 2010 年 11 月 29 日至 12 月 10 日在坎昆承办缔约方会议第十六届会议和《议定书》/《公约》缔约方会议第六届会议。履行机构赞赏地注意到，墨西哥政府和秘书处为召开缔约方会议第十六届会议和《议定书》/《公约》缔约方会议第六届会议正在进行筹备并作出种种努力，以便这两个会议取得圆满成功。

144. 履行机构赞赏地注意到墨西哥政府为缔约方会议第十六届会议和《议定书》/《公约》缔约方会议第六届会议提出的标识。履行机构请秘书处采取步骤，确保出现在《气候公约》结构会议上或官方网站上的任何标识、海报及其他材料都提到《公约》缔约方会议和《议定书》/《公约》缔约方会议，给予两者同等对待。

145. 履行机构请秘书处注意缔约方对缔约方会议第十六届会议和《议定书》/《公约》缔约方会议第六届会议临时议程可能列入的要点所表示的意见。

<sup>44</sup> 作为 FCCC/SBI/2010/L.21 号文件第 1-6 段通过。



146. 履行机构商定作出安排，在高级别会议期间的缔约方会议和《议定书》/《公约》缔约方会议的联席会议上，力求各国部长及其他代表团代表本国的发言做到简明扼要，建议发言限时 3 分钟，<sup>45</sup> 政府间组织和非政府组织代表发言也要简明扼要，建议限时 2 分钟。履行机构还请主席团和候任主席为组织高级别会议做出安排。

147. 履行机构审议了一种办法，在履行机构和科技咨询机构第三十二届会议之后至缔约方会议第十六届会议和《议定书》/《公约》缔约方会议第六届会议之前举行一次高级别会议。履行机构注意到缔约方对这一问题的意见。

148. 履行机构忆及第 1/CP.15 号和 1/CMP.5 号决定，请《公约》缔约方会议第十五届会议和《议定书》缔约方会议第五届会议主席团，与《公约》缔约方会议第十六届会议和《议定书》/《公约》缔约方会议第六届会议的候任主席和秘书处协商，最后确定《公约》缔约方会议第十六届会议和《议定书》/《公约》缔约方会议第六届会议安排的细节，包括高级别会议的安排细节。履行机构还忆及附件一缔约方在《京都议定书》之下的进一步承诺问题特设工作组(进一步承诺问题特设工作组)第十一届会议和《公约》下的长期合作行动问题特设工作组(长期合作行动问题特设工作组)第九届会议(2010 年 4 月)的结论，缔约方在结论中商定，与缔约方会议第十六届会议和《议定书》/《公约》缔约方会议第六届会议同时举行长期合作行动问题特设工作组第十三届会议和进一步承诺问题特设工作组第十五届会议，如此同时举行的时间长短视需要而定。<sup>46</sup> 履行机构强调透明和包容原则在缔约方会议第十六届会议和《议定书》/《公约》缔约方会议第六届会议举行前的时期和会议期间的重要性。

## B. 未来会期

(议程项目 16(c))

### 1. 议事情况

149. 履行机构在分别于 5 月 31 日和 6 月 9 日举行的第 2 次和第 4 次会议上审议了这个分项目。履行机构收到了 FCCC/SBI/2010/8 号文件。4 个缔约方的代表发了言，其中 1 人以 77 国集团和中国的名义发言。

150. 在第 2 次会议上，履行机构商定，在由 Owen-Jones 先生主持的一个联络小组内，连同分项目 16 (a)、(b)、(d)审议这个分项目。在第 4 次会议上，Owen-Jones 先生报告了联络小组的磋商情况。

151. 在第 4 次会议上，履行机构审议并通过了主席提出的结论。<sup>47</sup>

<sup>45</sup> 其他高级别代表也可能发言。

<sup>46</sup> FCCC/AWGLCA/2010/3 号第 25 段和 FCCC/KP/AWG/2010/3 号第 21 段。

<sup>47</sup> 作为 FCCC/SBI/2010/L.21 号文件第 7-15 段通过。

## 2. 结论

### 2010 年届会

152. 履行机构注意到秘书处提供的有关 2010 年 8 月 2 日至 6 日拟在德国波恩海洋旅馆举行的进一步承诺问题特设工作组第十三届会议和长期合作行动问题特设工作组第十一届会议的筹备工作情况。

153. 履行机构感谢中国政府慷慨提出承办进一步承诺问题特设工作组第十四届会议和长期合作行动问题特设工作组第十二届会议。履行机构还请执行秘书继续与中国政府磋商，在合理的时间内在届会开幕前作出必要的法律安排。

154. 履行机构注意到，2010 年增加这几个会议将需要《气候公约》2010-2011 两年期核心预算或联合国《气候公约》会议服务拨款中没有安排的资源。因此，敦请缔约方尽快向补充活动信托基金自愿捐款，以支付这些会议组织安排方面的开支，并向参与《气候公约》进程信托基金自愿捐款，争取为每个符合资格的缔约方的两名代表提供经费，并为最不发达国家和小岛屿发展中国家的第三名代表提供经费。

155. 履行机构向已经出资捐助 2010 年届会的挪威和西班牙政府、作出明确书面认捐的丹麦、德国和大不列颠及北爱尔兰联合王国政府、以及向参与《气候公约》进程信托基金捐款的澳大利亚、芬兰、挪威、瑞典、西班牙和瑞士政府表示感谢。

### 其他会期

156. 履行机构注意到，近年来届会的参加者大幅增加，这给波恩目前会议所用设施造成越来越多的挑战。履行机构请秘书处会同东道国政府，为能够容纳日益增多的与会者的新会议设施落成开放之前的这段时期，寻求切实的临时解决办法，并做出相关的后勤安排问题。履行机构指出，要按照目前暂时适用的议事规则草案第 3 条做出这种安排。

157. 履行机构忆及南非政府将承办 2011 年 11 月 28 日至 12 月 9 日的缔约方会议第十七届会议和《议定书》/《公约》缔约方会议第七届会议。<sup>48</sup> 履行机构期待了解更多关于会议组织安排和规划的情况。它感谢南非政府为筹备这两个会议所作的不断努力。

158. 履行机构注意到，根据各区域集团轮流的原则，缔约方会议第十八届会议和《议定书》/《公约》缔约方会议第八届会议的主席将从亚洲集团中产生。履行机构还注意到就缔约方会议第十八届会议和《议定书》/《公约》缔约方会议第八届会议的承办问题正在进行的磋商情况，希望早日获悉磋商的结果，以期在《公约》缔约方会议第十六届会议上就此事作出决定。

<sup>48</sup> 第 13/CP.15 号决定。

159. 履行机构商定推迟到第三十四届会议审议 2014 年和 2015 年的届会日期。履行机构忆及前几次结论中提出的关于未来届会将开始日期和结束日期均排在周中的建议。<sup>49</sup>

160. 履行机构请缔约方主动提出承办缔约方会议和《议定书》/《公约》缔约方会议未来的届会。

## C. 政府间进程的安排

(议程项目 16(d))

### 1. 议事情况

161. 履行机构在分别于 5 月 31 日和 6 月 9 日举行的第 2 次和第 4 次会议上审议了这个分项目。履行机构收到了 FCCC/SBI/2010/8 号文件。4 个缔约方的代表发了言，其中 1 人以 77 国集团和中国的名义发言。

162. 在第 2 次会议上，履行机构商定，在由 Owen-Jones 先生主持的一个联络小组内，连同分项目 16 (a)、(b)、(c) 审议这个分项目。在第 4 次会议上，Owen-Jones 先生报告了联络小组的磋商情况。

163. 在第 4 次会议上，履行机构审议并通过了主席提出的结论。<sup>50</sup>

### 2. 结论

#### 政府间进程的安排

164. 履行机构建议秘书处安排未来会期时沿用如下做法，即同时举行的全体会议和/或联络小组会议不超过 2 场，同时举行的会议(包括非正式会议)总数尽量不要超过 6 场。履行机构还建议，秘书处安排会期时，继续考虑到代表团的具体困难，尽量避免在类似问题上的时间冲突。

165. 履行机构忆及前几次结论中的建议，即所有会议均应在下午 6 时之前结束，尤其是为了使缔约方和区域集团有足够的时间准备每天的会议；但在例外情况下，会议可视具体情况再持续二至三小时。<sup>51</sup>

#### 观察员组织

166. 履行机构高兴地看到观察员组织对其工作仍然十分关心，注意到《气候公约》进程目前涵盖《二十一世纪议程》的所有 9 大集团。履行机构申明，如《公约》第七条第 2 款(l)项所载，观察员组织的参与很有价值，并承认民间社会派代表参与政府间进程有重要作用。履行机构注意到，观察员组织加强了参与，墨西

<sup>49</sup> FCCC/SBI/2009/8，第 115 段。

<sup>50</sup> 作为 FCCC/SBI/2010/L.21 号文件第 16-20 段通过。

<sup>51</sup> 以上脚注 49。

哥政府提供了促进这类组织参加缔约方会议第十六届会议和《议定书》/《公约》缔约方会议第六届会议的有关资料。履行机构鼓励缔约方会议和《议定书》/《公约》缔约方会议未来届会的承办国在会议规划和组织安排中考虑到会议场地的大小问题，以及方便所有缔约方和获准参加的观察员组织参加会议所需作出的安排。

167. 履行机构同意在第三十三届会议上继续讨论这个问题，以期就如何加强观察员组织参与的问题得出结论。为便利这个问题的讨论，履行机构请缔约方和观察员组织最迟在 2010 年 8 月 16 日之前向秘书处提出对这个问题的意见。

168. 履行机构还请秘书处根据以上第 167 段提到的所交来意见材料编写一份综合报告，交履行机构第三十三届会议审议。

## 十七. 行政、财务和体制事项

(议程项目 17)

### A. 2010-2011 两年期预算执行情况

(议程项目 17(a))

#### 1. 议事情况

169. 履行机构在分别于 5 月 31 日和 6 月 9 日举行的第 2 次和第 4 次会议上审议了这个分项目。履行机构收到了 FCCC/SBI/2010/INF.5 号文件。<sup>52</sup> 1 个缔约方的代表发了言。

170. 在第 2 次会议上，主席在秘书处的协助下，经过与感兴趣的缔约方协商，提出了关于这个分项目的结论草案。在第 5 次会议上，履行机构审议并通过了主席提出的结论。<sup>53</sup>

#### 2. 结论

171. 履行机构注意到截至 2010 年 5 月 15 日的缴款状况<sup>54</sup>，对已向核心预算和国际交易日志及时缴纳指示性摊款的缔约方表示赞赏，敦促尚未缴纳摊款的缔约方尽快缴纳。

172. 履行机构表示赞赏所收到的缔约方的自愿捐款，特别是为长期合作行动问题特设工作组和进一步承诺问题特设工作组的工作提供的自愿捐款。

<sup>52</sup> 订正本已发，即 FCCC/SBI/2010/INF.5/Rev.1 号文件。

<sup>53</sup> 作为 FCCC/SBI/2010/L.8 号文件通过。

<sup>54</sup> FCCC/SBI/2010/INF.5/Rev.1。

173. 履行机构强烈敦促各缔约方为参与《气候公约》进程信托基金提供自愿捐款，以确保有尽可能广泛的代表参加谈判。它还敦促各缔约方为补充活动信托基金提供捐款，以支付额外会议和《气候公约》核心预算信托基金未列入的其他经授权开展的活动的费用。

## B. 《总部协定》的执行情况

(议程项目 17(b))

### 1. 议事情况

174. 履行机构在分别于 5 月 31 日和 6 月 9 日举行的第 2 次和第 4 次会议上审议了这个分项目。东道国政府代表和执行秘书发了言。2 个缔约方的代表也发了言。

175. 在第 2 次会议上，主席在秘书处的协助下，经过与感兴趣的缔约方协商，提出了关于这个分项目的结论草案。在第 5 次会议上，履行机构审议并通过了主席提出的结论。<sup>55</sup>

### 2. 结论

176. 履行机构注意到秘书处的东道国政府代表的发言，发言重申在德国波恩为秘书处建造新的办公用房的工程预定分两个阶段完工：第一阶段在 2011 年底以前；第二阶段，包括增建一座建筑，将于 2014 年完工。

177. 东道国政府代表向履行机构通报了在对波恩联合国办公区内新会议设施竣工方面的延误情况，这些新的会议设施预计比秘书处目前在波恩使用的会议设施可容纳更多与会人员。由于未预见的情况，会议设施的启用时间已被推迟。考虑到目前设施由于与会人数增加所面临的挑战，履行机构敦促东道国政府确保新会议设施尽早完工。

178. 履行机构注意到执行秘书的发言，他在发言中对《总部协定》执行工作的许多方面表示满意，并向履行机构通报了一些关注领域。特别是，执行秘书向履行机构通报说，无法为工作人员日益增加的秘书处提供足够办公用房，让其能在一处办公。联合国办公区内新的办公用房预计可于 2011 年底前提提供使用。因此，秘书处将在估计一年半的时间内分开在两个办公场所办公。履行机构还获悉，预计于 2011 年提供的新办公用房将无法容纳目前的工作人员水平，这可能造成秘书处继续在两个地点运作。计划在 2014 年提供第二座楼房。

179. 履行机构请东道国政府和执行秘书在第三十四届会议上向其报告在《总部协定》的执行工作中在该方面及其他方面的进展情况。

<sup>55</sup> 作为 FCCC/SBI/2010/L.10 号文件通过。

C. 在《京都议定书》之下所设各机构任职的个人的特权和豁免  
(议程项目 17(c))

1. 议事情况

180. 履行机构在分别于 5 月 31 日和 6 月 9 日举行的第 2 次和第 4 次会议上审议了这个分项目。1 个缔约方的代表发了言。

181. 在第 2 次会议上, 履行机构商定, 在由 Tamara Curll 女士(澳大利亚)主持的一个联络小组内审议这个分项目。在第 4 次会议上, Curll 女士报告了联络小组的磋商情况。

182. 在第 4 次会议上, 履行机构审议并通过了主席提出的结论。<sup>56</sup>

2. 结论

183. 履行机构注意到, 缔约方通过意见交流, 加上秘书处和联合国法律事务厅提供的补充信息, 进一步加深了对此问题的理解。

184. 履行机构还注意到附件九所载条约安排草案的起草工作进展。

185. 履行机构同意以附件九所载案文为基础, 在第三十三届会议上继续审议这一问题, 以期尽快达成这些安排。

D. 国际交易日志费的收取方法  
(议程项目 17(d))

1. 议事情况

186. 履行机构在分别于 5 月 31 日和 6 月 9 日举行的第 2 次和第 4 次会议上审议了这个分项目。1 个缔约方的代表发了言。

187. 在第 2 次会议上, 履行机构商定, 在由 Toshiaki Nagata 先生(日本)主持的一个联络小组内审议这个分项目。在第 4 次会议上, Nagata 先生报告了联络小组的磋商情况。

188. 在第 4 次会议上, 履行机构审议并通过了主席提出的结论。<sup>57</sup>

2. 结论

189. 履行机构欢迎秘书处提供的有关国际交易日志费收取方法的信息。<sup>58</sup>

<sup>56</sup> 作为 FCCC/SBI/2010/L.9 号文件通过。

<sup>57</sup> 作为 FCCC/SBI/2010/L.4 号文件通过。

<sup>58</sup> FCCC/TP/2010/1。

190. 履行机构注意到国际交易日志管理人在 2009 年的年度报告中所提供的有关《京都议定书》单位交易的信息。<sup>59</sup>

191. 履行机构欢迎缔约方提交的材料，其中含有缔约方关于执行秘书应如何处理国际交易日志费收取问题的意见。<sup>60</sup>

192. 履行机构决定作为建议提出一项关于 2012-2013 两年期国际交易日志费收取方法的决定草案，供《议定书》/《公约》缔约方会议第六届会议通过。<sup>61</sup>

## 十八. 其他事项

(议程项目 18)

193. 履行机构在 5 月 31 日举行的第 2 次会议上审议了这个项目。1 个缔约方提出了关于在《议定书》/《公约》缔约方会议第 10/CMP.2 号决定所通过对《京都议定书》附件 B 的修正生效之前在《气候公约》网站上公布该缔约方联合执行活动情况的问题。主席就这个问题与感兴趣的缔约方进行了磋商。3 个缔约方的代表发了言。

## 十九. 会议报告

(议程项目 19)

194. 在 6 月 9 日的第 4 次会议上，履行机构审议并通过了第三十二届会议报告草稿。<sup>62</sup> 在同次会议上，经主席提议，履行机构授权报告员在秘书处协助和主席指导下完成会议报告。

## 二十. 会议闭幕

195. 在 6 月 9 日与科技咨询机构联合举行的第 3 次会议上，履行机构向即将卸任的《气候公约》秘书处执行秘书伊沃·德布尔先生道别。履行机构主席和科技咨询机构主席感谢他在任职期间所提供的服务。德布尔先生向履行机构和科技咨询机构讲述了自己的工作情况，并谈到今后的挑战。他强调了对气候变化的紧迫性，并说，要应对气候变化就要“求同存异”。德布尔先生还就《气候公约》进程如何发展谈了自己的看法，包括观察员组织的重要参与和市场及市场机制在未来可发挥的作用。候任克里斯蒂安娜·菲格雷斯女士也就德布尔先生所做的工作向他表示感谢。7 个缔约方的代表发了言，其中 1 人以 77 国集团和中国的名义

<sup>59</sup> FCCC/KP/CMP/2009/19。

<sup>60</sup> FCCC/SBI/2009/MISC.3 和 Add.1，以及 FCCC/SBI/2010/MISC.4。

<sup>61</sup> FCCC/SBI/2010/L.4/Add.1。决定的最后案文见 FCCC/SBI/2010/10/Add.1 号文件。

<sup>62</sup> 作为 FCCC/SBI/2010/L.1 号文件通过。

发言、1 人以欧洲联盟及其成员国的名义发言、1 人以伞状集团的名义发言、1 人以小岛屿国家联盟的名义发言、1 人以最不发达国家的名义发言、1 人以非洲集团的名义发言、1 人以环境完整性小组的名义发言。

196. 在 6 月 9 日举行的第 4 次会议上，执行秘书的代表说明了对会上通过的各项结论所涉行政和预算问题的初步评估。这个说明是根据第 16/CP.9 号决定第 20 段的要求作出的，其中请执行秘书在决定<sup>63</sup> 所涉行政和预算需要无法从核心预算的现有资金中满足的情况下就这种问题作出说明。

197. 执行秘书的代表向各位与会代表通报说，第三十二届会议通过的履行机构结论不涉及 2010-2011 年方案概算中现有资源未涵盖的重大预算要求。

198. 在同次会议上，6 个缔约方作了闭幕发言，其中 1 人以 77 国集团和中国的名义发言、1 人以最不发达国家的名义发言、1 人以伞状集团的名义发言、1 人以非洲集团的名义发言。此外还有以土著人民组织、工会类非政府组织以及地方政府和市政当局的名义所做的发言。

199. 在届会闭幕前，主席感谢各位代表、联络小组主席和非正式磋商召集人所作的贡献。他还感谢秘书处和口译的支持。

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<sup>63</sup> 尽管第 16/CP.9 号决定提及的是“决定”，但该决定也涉及附属机构通过的结论。



## 附件一

### 专家咨询小组成员名单(2010-2011 年)

#### 非《公约》附件一所列缔约方

Irina ATAMURADOVA 女士(土库曼斯坦)

Ménouèr BOUGHEDAOUÏ 先生(阿尔及利亚)

Ruleta CAMACHO 女士(安提瓜和巴布达)

Haroldo DE OLIVEIRA MACHADO FILHO 先生(巴西)

Madeleine Rose DIOUF SARR 女士(塞内加尔)

Emmanuel Dumisani DLAMINI 先生(斯威士兰)

Fernando FARÍAS 先生(智利)

Abias Moma HUONGO 先生(安哥拉)

Sangchan LIMJIRAKAN 女士(泰国)<sup>1</sup>

Carlos MANSILLA 先生(危地马拉)

Eric Kamoga MUGURUSI 先生(坦桑尼亚联合共和国)

Jocelyn PAUL 女士(格林纳达)

Graham SEM 先生(巴布亚新几内亚)

W. L. SUMATHIPALA 先生(斯里兰卡)

Hongwei YANG 先生(中国)

#### 《公约》附件一所列缔约方

Søren JAKOBSEN 先生(丹麦)

Erasmia KITOU 女士(欧洲联盟)

Beth LAVENDER 女士(加拿大)

Othmar SCHWANK 先生(瑞士)

Tara SHINE 女士(爱尔兰)

Kiyoto TANABE 先生(日本)

<sup>1</sup> 2010 年 4 月 11 日由 Vute Wangwacharakul 先生接替。

国际组织

Yamil BONDUKI 先生(联合国开发计划署国家信息通报支助方案)

Takahiko HIRAISHI 先生(政府间气候变化专门委员会(气专委)/气专委国家温室气体清单方案)

George A. MANFUL 先生(联合国环境规划署全球环境基金)

## 附件二

[English only]

**Fourth review of the financial mechanism**

*[The Conference of the Parties,*

*Recalling Article 4, paragraphs 3, 4, 5, 8, and 9, of the Convention,*

*Taking fully into account Article 11 of the Convention, in particular its paragraph 1,*

*Also recalling decisions 11/CP.1, 12/CP.2, 3/CP.4, 7/CP.7, 6/CP.13 and 3/CP.14,*

*Pursuant to Article 7, paragraph 2(h), of the Convention,*

*Noting that multilateral and bilateral agencies have scaled up financial resources related to the implementation of the Convention,*

*Also noting the annual report of the Global Environment Facility to the Conference of the Parties,*

*Takes note of the completion of the GEF fifth replenishment that took place in Punta Del Este from 24 to 28 May 2010,*

*Further noting the report<sup>1</sup> on the Fourth Overall Performance Study of the Global Environment Facility,*

1. *Takes note of the findings of the Fourth Overall Performance Study, which was completed prior to the fifth replenishment, that:*

(a) *The Global Environment Facility support continues to be in line with guidance from the Convention;*

(b) *Although developed country donors have provided new and additional funding for global environmental benefits to developing countries, this has been insufficient to cover the increasing agenda of the Global Environment Facility as agreed upon in the conventions;*

(c) *The Global Environment Facility support has been crucial in enabling countries to integrate climate change into their national development agendas;*

(d) *The Global Environment Facility support has assisted developing countries in introducing policies to address climate change and reduce and avoid greenhouse gas emissions;*

(e) *The Resource Allocation Framework has hindered the access of group countries to the Global Environment Facility, particularly in climate change, which may explain some of the discontent of the climate change community with the Global Environment Facility;*

(f) *The Global Environment Facility reporting requirements to the Conventions have generally been met, yet certain aspects require improvement;*

<sup>1</sup> Global Environment Facility Evaluation office. Fourth Overall Performance Study of the GEF Progress Toward Impact. Full report, 9 November 2009.

(g) The move of the Global Environment Facility towards country-level programming has increased country ownership to some extent, but that the current modalities for resource allocation require improvement;

(h) There is scope to further simplify and streamline the Global Environment Facility procedures, particularly the project identification phase, and improve timeliness throughout the project cycle;

(i) The Global Environment Facility needs a knowledge management strategy to improve learning and the sharing of best practices;

(j) The Global Environment Facility has played an important role in scaling up resources to address climate change;

[2. *Welcomes* the successful fifth replenishment of the GEF and notes that this is the largest increase since the GEF was established [if pledges made by all contributing countries can be accomplished].]

3. *Invites* developed country Parties to provide, through bilateral and regional and other multilateral channels, financial resources related to the implementation of the Convention;

4. *Decides* that the Global Environment Facility has provided and should continue to enhance its support to developing countries in:

(a) Meeting their commitments under the Convention;

(b) Strengthening national capacity-building;

(c) Applying and diffusing technologies, practices and processes for mitigation;

5. *Requests* the GEF to continue improving its modalities to increase the responsiveness, effectiveness and efficiency of its support, including:

(a) Being responsive to new guidance from the Conference of the Parties;

(b) Reporting from the Global Environment Facility to the convention should include a critical assessment of its experience with implementation of projects, as well as its experience with incorporating guidance from the Conference of the Parties into its strategies and programme priorities;

(c) Enhancing modalities which reinforce country ownership and improve the allocation of resources;

(d) Further simplifying and improving its procedures, particularly those for the identification, preparation and approval of activities;

(e) Ensuring that access to resources is expeditious and timely;

(f) Enabling country-level programming, where appropriate;

(g) Ensuring consistency and complementarity with other financing activities;

(h) Promoting private-sector financing and investment to address climate change activities;

(i) Strengthening its knowledge management approach to share best practice;

6. *Decides* that the Global Environment Facility should continue to provide and enhance support for the implementation of adaptation activities, including the implementation of national adaptation plans of action, through the Least Developed Country Fund and Special Climate Change Fund;

7. *Requests* the Global Environment Facility, in its regular report to the Conference of the Parties, to include information on the steps it has taken to implement the guidance provided in paragraphs 4, 5 and 6 above;
8. *Invites* Parties to submit to the secretariat annually, no later than ten weeks prior to the Conference of the Parties, their views and recommendations in writing elements to be taken into account in developing guidance to the Global Environment Facility.
9. *Also requests* the Subsidiary Body for Implementation to initiate the fifth review of the financial mechanism at its thirty-seventh session in accordance with the criteria contained in the guidelines annexed to decisions 3/CP.4 and 6/CP.13, or as these guidelines may be subsequently amended, and to report on the outcome to the Conference of the Parties at its nineteenth session.]

## 附件三

### 经修订的关于《公约》第六条的新德里工作方案执行进展中期审查的职权范围

#### 一. 任务

1. 《公约》缔约方会议第 9/CP.13 号决定决定于 2010 年对经修订的关于《公约》第六条的新德里工作方案的执行进展进行一次中期审查，以评估方案的有效性并找出正在出现的差距和需要，并在 2012 年对工作方案的执行情况进行审查。
2. 在同一决定中，《公约》缔约方会议请秘书处在 2010 年对工作方案进行中期审查之前，与有关伙伴协作，在具备资金的前提下，举办区域和分区域专题研讨会，交流经验教训和最佳做法。
3. 《公约》缔约方会议还请秘书处基于国家信息通报和其他来源资料所载信息，就缔约方执行《公约》第六条取得的进展编写报告，供附属履行机构(履行机构)审议。为了 2010 年的中期审查及 2012 年的审查，将定期发布这类报告。
4. 《公约》缔约方会议还请秘书处根据信息网络交换所的评价报告，<sup>1</sup> 进一步强化信息网络交换所的用途和重要性，并为发布来自交换所和其他来源的信息提供便利。

#### 二. 目标

5. 为了鼓励基于经验加以改进，中期审查的目标如下：
  - (a) 总结经修订的新德里工作方案迄今为止取得的执行进展，注意到这项工作仍在进行中；
  - (b) 确定执行经修订的新德里工作方案的基本需要、潜在的差距及障碍；
  - (c) 确定经验教训与良好做法，以便进行适当的传播、宣传、复制和介绍；
  - (d) 确定有关改善或推进执行经修订的新德里工作方案的进一步步骤的建议。

<sup>1</sup> FCCC/SBI/2007/26。

### 三. 资料来源

6. 为了便于中期审查，应从以下来源获取有关经修订的新德里工作方案执行情况的资料：

(a) 关于第六条执行问题的区域专题研讨会，包括第一轮区域专题研讨会的报告；

(b) 缔约方提交的材料；

(c) 国家信息通报及其他相关国家报告；

(d) 缔约方与相关组织通过信息网络交换所共享的有关方案执行情况的资料；

(e) 全球环境基金及其执行机构、联合国各组织、相关政府间和非政府组织以及相关利害关系方的报告和提交的材料。

### 四. 预期成果

7. 秘书处将参考第三章所列信息来源，编写以下资料，供履行机构第三十三届会议审议：

(a) 关于经修订的新德里工作方案执行进展的基本需要、潜在差距和障碍的报告；

(b) 关于全面落实信息网络交换所的报告；

(c) 一份杂项文件，载列缔约方、相关政府间和非政府组织以及相关利害关系方应履行机构第三十二届会议的要求提交的材料。

8. 履行机构第三十三届会议将审议上文第 7 段所列文件及与完成中期审查相关的其他任何资料，以便提出一项有关决定草案的建议，供《公约》缔约方会议第十六届会议通过，该决定草案应包括确定有关改善或推进执行经修订的新德里工作方案的进一步步骤。

## 附件四

[English only]

**Text for a draft decision for consideration by the Subsidiary Body for Implementation at its thirty-third session****Draft decision -/CP.16****Implementation of the Buenos Aires programme of work on adaptation and response measures***[The Conference of the Parties,**Recalling Article 4, paragraph 8, of the Convention,**Also recalling decisions 5/CP.7 and 1/CP.10,**Having considered* the reports on the workshops referred to in paragraph 8 of decision 1/CP.10 and the expert meetings referred to in paragraph 16 of the same decision, as well as submissions from Parties and relevant organizations on this matter,<sup>1</sup>*[Acknowledging* the assessment process that has been ongoing since the fourteenth session of the Conference of the Parties [as provided for in paragraph 22 of decision 1/CP.10], and the valuable inputs to it from Parties and relevant stakeholders, ]*[Acknowledging* the efforts already made by Parties to meet the specific needs and concerns of developing country Parties, ]*[Recognizing* the relevance of the work undertaken and lessons learned to date, in informing the continued implementation of actions on adaptation, ]*Acknowledging* that there is a need to [enhance efforts to] further implement decisions 5/CP.7 and 1/CP.10 [, as follows],

1. *[Agrees* to further implement decisions 5/CP.7 and 1/CP.10 in the areas of the adverse effects of climate change and the impact of the implementation of response measures, as follows; ]
2. *[Requests* the secretariat to continue to engage relevant organizations, institutions, experts and communities in the implementation of the activities identified in this decision; ]

**I. Adverse effects of climate change**

3. *[Asserts* the importance of a country-driven approach [, supported by financial, technical and human resources, that enables developing country Parties to undertake] [that allows developing country Parties to pursue] the specific activities most appropriate to their unique national circumstances; ]

<sup>1</sup> The submissions contained in documents FCCC/SBI/2008/MISC.4, FCCC/SBI/2008/MISC.9 and Add.1, FCCC/SBI/2008/MISC.10, FCCC/SBI/2009/MISC.11/Rev.1, and FCCC/SBI/2010/MISC.1 and Add.1.



4. [Reiterates that action related to adaptation to the adverse effects of climate change should follow an assessment and evaluation process, based on national communications and/or other relevant information, so as to prevent maladaptation and to ensure that adaptation actions are environmentally sound and will produce real benefits in support of sustainable development; ]

5. [Establishes its three-year work plan for enhancing implementation of adaptation in developing countries, [taking into account the urgent and immediate needs of developing countries that are particularly vulnerable to the adverse effects of climate change, especially the least developed countries and small island developing States, and further taking into account the needs of countries [in Africa] affected by drought, desertification and floods [, particularly in Africa]], including the actions referred to in paragraph 7 below; ]

6. [Requests Parties included in Annex II to the Convention to support implementation of the work plan referred to in paragraph 5 above for enhancing implementation of adaptation, including through the following actions; ]

7. [Invites relevant organizations and other stakeholders to participate in the implementation of the following activities, and to share the outcomes at subsequent sessions of the Subsidiary Body for Implementation, as appropriate: ]

(a) [Financial resources [to]: ]

- [Address[ing] the need for additional, sufficient, predictable and sustainable resources to facilitate implementation of adaptation actions on the ground; ]
- [[Support developing countries, in particular the least developed countries and small island developing States, while] Addressing the need for equitable disbursement of financial support [to vulnerable countries]; ]

*Alternative operative paragraphs:*

- [Encourages developed country Parties to enhance efforts to improve information on accessing existing funds for adaptation, including for the implementation of priorities identified in national adaptation programmes of action, national communications and/or other relevant documents; ]
- [Requests Parties to continue to provide information on available support through, inter alia, the web-based interface on the UNFCCC website; ]
- [Encourages developed country Parties to continue efforts to enhance access to existing funds for adaptation, including by integrating adaptation into development cooperation programmes to the extent feasible, disseminating information on modalities for access, and building capacity for the preparation of project proposals and for project implementation; ]
- [Urges Parties included in Annex II to the Convention and relevant international and regional organizations to continue to provide financial and technical support for the implementation by Parties not included in Annex I to the Convention of activities related to addressing the adverse effects of climate change; ]

(b) [Vulnerability and adaptation assessments: ]

- [Facilitating the sharing of information and knowledge of best practices and lessons learned from results of vulnerability and adaptation assessments; ]

alt

[Implement actions as a result of South-South information sharing; ]

- [[Enhancing] activities related to vulnerability and adaptation assessments, including developing regional climate models, collecting socio-economic data and scenarios, developing relevant tools, promoting and increasing capacity for integrated assessments, encouraging the use of multidisciplinary teams, and enhancing targeted packaging and dissemination of climate data and the results of vulnerability and adaptation assessments; ]
- [Inviting the Intergovernmental Panel on Climate Change to consider, without prejudice to its ongoing and planned work, preparing a special report on the implications of the adverse effects of climate change on vulnerable regions; ]

*Alternative operative paragraphs:*

- [*Encourages* Parties to facilitate the sharing of information and knowledge of best practices and lessons learned from results of vulnerability and adaptation assessments; ]
- [*Further encourages* Parties to enhance efforts to raise awareness and build capacity at the local, national and regional levels to enable planning and preparation for and responses to adaptation, inter alia, to improve the understanding of effective adaptation; ]
- [*Calls* on Parties, relevant organizations and stakeholders to enhance activities related to vulnerability and adaptation assessments, including developing regional climate models, collecting socio-economic data and scenarios, developing relevant tools, promoting and increasing capacity for integrated assessments, encouraging the use of multidisciplinary teams, and enhancing targeted packaging and dissemination of climate data and the results of vulnerability and adaptation assessments; ]

(c) [Adaptation planning and implementation: ]

- [Providing support for implementation strategies for action plans arising from adaptation assessments, and integrating these into local, sectoral and national development policies and plans; ]

alt

[Support implementation strategies for action plans arising from adaptation assessments;

Integrate the implementation strategies into local, sectoral and national development policies and plans; ]

- [Develop a ‘NAPA-like’ process to meet the urgent and immediate needs of developing countries not afforded the opportunity under the least developed countries work programme; ]
- [Ensure that adaptation projects identified through national adaptation programmes of action and ‘NAPA-like’ processes are implemented; ]
- [Support the implementation of adaptation at local, sectoral, national and regional levels; ]

*Alternative operative paragraphs:*

- [Reiterates that action related to adaptation to the adverse effects of climate change should follow an assessment and evaluation process, based on national communications and/or other relevant information, so as to prevent maladaptation and to ensure that adaptation actions are environmentally sound and will produce real benefits in support of sustainable development; ]
- [Urges developing country Parties to enhance national planning for adaptation, including by integrating adaptation into the planning process, disseminating information on, and building upon, lessons learned from the national adaptation programmes of action process, and drawing upon information in national communications from Parties and other relevant documents; ]
- [Further encourages developing country Parties to continue to document their adaptation priorities and needs in relevant national documents and strategies, as appropriate; ]
- [Encourages developed country Parties to continue providing support for implementation strategies for action plans arising from adaptation assessments, and to integrate these into local, sectoral and national development policies and plans; ]

(d) [Risk management and risk reduction: ]

- [[Facilitating the] sharing of information and knowledge of best practices and lessons learned in relation to risk management and risk reduction approaches, and new approaches to risk sharing and risk transfer [ , including insurance]; ]

*Alternative operative paragraphs:*

- [Urges Parties to enhance efforts to facilitate the sharing of information and knowledge of best practices and lessons learned in relation to risk management and risk reduction approaches, and new approaches to risk sharing and risk transfer [ , including insurance]; ]
- [Urges all Parties to promote risk management approaches and other appropriate responses to the adverse effects of climate change, building upon the practical experience of international, regional and national organizations and the private sector, including by disseminating information on best practices and lessons learned; ]

(e) [Regional collaboration: ]

- [[Providing resources for] Establish[ing] and/or enhanc[e][ing] the capacity of regional centres to support national-level adaptation activities in the areas of access to and dissemination of knowledge, technical support and capacity-building; ]
- [[Promoting] regional and interregional cooperation [and coordination] on all aspects of adaptation; ]
- [Regional cooperation on adaptation and opportunities for further South-South and North-South cooperation between countries and regional centres specialized in adaptation planning and implementation; ]

*Alternative operative paragraphs:*

- [*Invites* Parties to strengthen the engagement of relevant actors and organizations and to promote synergies between relevant processes and the work of international and regional organizations and the private sector; ]
  - [*Invites* relevant organizations, institutions, experts and communities to participate in the implementation of activities identified in this decision; ]
  - [*Urges* relevant organizations, institutions, experts and communities to undertake their own activities, and share the outcomes at agreed sessions of the Subsidiary Body for Implementation, as appropriate; ]
- (f) [Capacity-building, education, training and public awareness: ]
- [Organizing regional training workshops, [subject to the availability of resources, ] aimed at enhancing the capacity of developing country Parties to implement adaptation; ]
  - [[Promoting] activities relating to capacity-building, education, training and public awareness, taking into consideration the outcomes of the above-mentioned workshops; ]
- [(g) Transfer of technology for adaptation:
- Identify and analyse priority technology needs for adaptation;
  - Undertake assessments of country-specific technology needs for adaptation;
  - Promote joint research and development programmes;
  - Identify barriers to technology transfer, and measures to address these barriers, including through sectoral analysis;
  - Support access to technology to address needs of developing countries regarding adaptation measures; ]
- (h) [Sharing of information and knowledge; ]
- (i) [Systematic observation: ]
- [[Providing] support for activities aimed at strengthening national and local networks in areas of systematic observation and the rescue, archiving, analysis and dissemination of data at the national and regional levels; ]

*Alternative operative paragraphs:*

- [Encourages Parties to continue to support activities aimed at strengthening national and local networks in areas of systematic observation and the rescue, archiving, analysis and dissemination of data at the national and regional levels; ]
- [*Invites* Parties and relevant international, regional and national organizations to collaborate and enhance their efforts to build the institutional capacities to collect, process and analyse relevant data in order to carry out vulnerability and adaptation assessments; ]

8. *Encourages* Parties to consider the information and advice emerging from the first phase of the Nairobi work programme on impacts, vulnerability and adaptation to climate change,<sup>2</sup> as appropriate, in the implementation of activities identified in this decision;

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<sup>2</sup> FCCC/SBSTA/2008/13, annex I.

9. [*Urges* Parties included in Annex II to the Convention and relevant international and regional organizations to increase their financial and technical support for the implementation by Parties not included in Annex I to the Convention of activities related to addressing the adverse effects of climate change; ]

10. [*Calls on* all Parties to monitor and report on measures undertaken to address adaptation needs, with the aim of enhancing the collective learning and enhanced understanding of vulnerabilities, impacts and adaptation measures, and to continue to report on these measures through their national communications; ]

11. [*Invites* relevant organizations and other stakeholders to participate in the implementation of the activities identified in paragraph 7 above, and to share the outcomes at subsequent sessions of the Subsidiary Body for Implementation as appropriate; ]

12. [*Invites* the Intergovernmental Panel on Climate Change to consider, without prejudice to its ongoing and planned work, preparing a special report on the implication of the adverse effects of climate change on vulnerable regions; ]

## II. Impact of the implementation of response measures

Option 1:

13. [*Establishes* a forum under the guidance of the Chair of the Subsidiary Body for Implementation, to be held in conjunction with meetings of the subsidiary bodies, for Parties and representatives of relevant intergovernmental organizations, with participation from the scientific, financial and private insurance sectors, which will include the following components: ]

Alt

[*Invites* relevant organizations and other stakeholders to participate in the implementation of the following activities, and to share the outcomes at subsequent sessions of the Subsidiary Body for Implementation, as appropriate: ]

- (a) [Financial risk management: ]
  - Exploring possible collaboration between the climate change community, government programmes and the private insurance sector;
  - Promoting private-public partnerships linking insurance mechanisms and risk-reduction mechanisms;
  - Building capacity at the national level for risk management, risk financing and risk transfer;
  - Identifying means by which to engage the private sector in the development of alternative risk transfer mechanisms;
- (b) [Modelling: ]
  - Disseminating modelling tools and models to Parties not included in Annex I to the Convention, and ensuring increased collaboration on modelling activities on an ongoing basis;
  - Developing methodologies to assist developing countries in assessing vulnerability to the impact of the implementation of response measures;
  - Developing draft guidance documents on how to undertake socio-economic assessments of the impact of the implementation of the response measures to

be piloted in selected countries as a basis for detailed and comprehensive guidance;

- Developing, in collaboration with international organizations, methodologies to assess the impacts on developing countries of policies already implemented by Parties included in Annex I to the Convention;
- Collaborating with the scientific research community, including the Intergovernmental Panel on Climate Change, to improve the quality of models, in particular those that assess the impact of the implementation of response measures on developing countries, with a view to fully addressing this issue in the future work of the Intergovernmental Panel on Climate Change;
- Building capacity at the national level to model the impact of the implementation of response measures;

(c) [Economic diversification: ]

- Providing support for the integration of economic diversification into sustainable development strategies;
- Exchanging experiences in economic diversification, and lessons learned, with a view to identifying what technical assistance may be needed to develop structural and institutional capacity, and/or to establishing a mechanism to facilitate efforts to achieve economic diversification;
- Collaboration by the secretariat with relevant international organizations and the private sector in developed countries on matters relating to economic diversification;
- Building capacity, at the national level, in the area of economic diversification;
- Promoting private-public partnerships in various areas to support economic diversification;
- Providing recommendations for encouraging direct investment by and technology transfer from developed countries to assist in the economic diversification of developing countries;
- Addressing the extent to which trade and export barriers affect economic diversification in developing countries;

14. [Invites relevant organizations and other stakeholders to participate in the implementation of the activities identified in paragraph 13 above, and to share the outcomes at subsequent sessions of the Subsidiary Body for Implementation, as appropriate; ]

15. [Invites other relevant international and regional organizations to provide information on lessons learned from work that may be relevant to the consideration of potential consequences; ]

16. [Requests the secretariat to compile this information, as well as information on work being undertaken by other UNFCCC bodies for consideration by the Subsidiary Body for Implementation at its thirty-fourth session; ]

17. [Requests the Subsidiary Body for Implementation to consider [the outcomes of the activities] [the information provided] in this decision and recommend a draft decision for adoption by the Conference of the Parties at its xx session; ]

18. *Decides* to assess the implementation of this decision at its xx session, with a view to agreeing on any further action.

Option 2:

19. *Recognizes* that the potential impacts of response measures is a challenge faced by all Parties;

13. *Acknowledges* the challenges in anticipating, attributing and quantifying response measures;

14. *Notes* that work on this issue should build on relevant decisions, and work being carried out by other bodies and in other processes under the Convention, with the aim of maintaining an approach that is coherent with other work in the UNFCCC process;

15. *Further notes* that any consideration of these impacts should focus on [small island developing States and the least developed countries] [the poorest countries and those least able to address these impacts];

16. *Recognizes* that in order to further the implementation of actions by Parties on response measures, there is a need to deepen understanding of response measures and any observed impacts, and that this can be achieved through various means, including:

(a) The regular and systematic provision of information by all Parties, which is as complete as possible, on potential and observed impacts of policies and measures, in particular through national communications, and the regular review of this information;

(b) The assessment of potential consequences and observed impacts carried out by, inter alia, relevant national institutions and international organizations;

(c) Information on work being carried out by other UNFCCC bodies that may be relevant to the consideration of potential consequences.]

## 附件五

[English only]

**Text for a draft decision for consideration by the Subsidiary Body for Implementation at its thirty-third session****Draft decision -/CP.16****[Capacity-building under the Convention***The Conference of the Parties,**[Recalling decisions 2/CP.7, 2/CP.10, 4/CP.12, 6/CP.14 and 8/CP.15,**Acknowledging that capacity-building for developing countries is essential to enable them to participate fully in, and implement effectively their commitments under, the Convention,**Reaffirming that decision 2/CP.7 remains effective and should continue to guide the implementation of capacity-building activities in developing countries, ]**Noting that a range of the priority issues identified in the framework for capacity-building in developing countries is being supported by Parties included in Annex II of the Convention, the Global Environment Facility and other multilateral, bilateral and international agencies, [the private sector] and intergovernmental and non-governmental organizations,**[Also noting that gaps still remain and the availability of and access to financial and technical resources is still an issue to be addressed, in order to progress qualitatively and quantitatively on the capacity-building implementation, ]**[Acknowledging that capacity-building is a country-driven and learning-by-doing process that responds to the specific needs and priorities of the countries concerned,**Having considered the information in documents prepared by the secretariat in support of the second comprehensive review of the implementation of the framework for capacity-building in developing countries and submissions by Parties on the issue, <sup>1</sup>]*

1. *Decides that the scope of needs and priority areas identified in the framework for capacity-building in developing countries, as contained in decision 2/CP.7, and the key factors identified in decision 2/CP.10 are still relevant;*

2. *Further decides that new capacity-building needs and priorities in developing countries emerging from the processes and initiatives launched after the completion of the first comprehensive review as well as from the negotiations under the Ad Hoc Working Group on Long-term Cooperative Action under the Convention will need to be taken into account in the further implementation of the framework for capacity-building in developing countries;*

<sup>1</sup> FCCC/SBI/2009/MISC.1, FCCC/SBI/2009/MISC.2, FCCC/SBI/2009/MISC.8, FCCC/SBI/2009/MISC.12/Rev.1, FCCC/SBI/2009/4, FCCC/SBI/2009/5 and FCCC/SBI/2009/10.



3. *Also decides* that further implementation of the framework for capacity-building in developing countries should be improved at the systemic, institutional and individual levels as appropriate, by:

(a) Ensuring consultations with stakeholders throughout the entire process, from the design of activities to their implementation;

(b) Enhancing integration of climate change issues and capacity-building needs into national development strategies, plans and budgets;

(c) Increased country-driven coordination of capacity-building activities;

(d) Strengthened networking and information sharing among developing countries, especially through South-South and triangular cooperation;

(e) Building on existing skills and capacities [ , where available, ] [ , as appropriate, ] related to development and implementation of capacity-building activities [and delivery of reporting, including national communications [and inventories]];

(e bis) Developing and/or strengthening skills and capacities related to the implementation of climate change related activities;

(f) [Strengthening national and regional research institutions; ]

4. [*Encourages* cooperative efforts between developed country Parties and developing country Parties to conceptualize and develop ideas and devise the implementation of activities, and monitor their impact; ]

4.bis [*Encourages* cooperative efforts between developing and developed country Parties to formulate concepts, develop approaches, implement activities, and monitor their impacts, in accordance with country-driven priorities; ]

5. *Decides* that financial and technical support should be provided for the establishment and strengthening of national climate change focal points, national climate change secretariats or committees and national IPCC focal points, as appropriate, to enhance the implementation of the Convention in developing countries, particularly in least developed countries and small island developing States;

6. *Requests* the Subsidiary Body for Implementation to develop a five-year plan of action on capacity-building, including activities, timeframes, financial requirements and sources of funding, with the objective of enhancing the implementation of the framework for capacity-building in developing countries and addressing new and emerging capacity needs, with a view to the adoption of their plan of action by the Conference of the Parties at its seventeenth session;

7. *Decides* to establish an expert group on capacity-building with the terms of reference contained in the annex to this decision;

8. *Also decides* to review, at its twenty-first session, the progress of the work of the expert group and its terms of reference, including, if appropriate, the status and continuation of the expert group;

9. *Further decides* that the next and subsequent comprehensive reviews of the framework for capacity-building in developing countries will be undertaken using simple and effective performance indicators developed by the expert group referred to in paragraph 7 above;

10. *Requests* the secretariat to improve the process for regularly gathering and disseminating information on capacity-building activities in developing countries,

recognizing the usefulness of information on capacity-building deriving from the compilation and synthesis of national communications, annual submissions by Parties and other documents relevant to this effort, in collaboration with the Global Environment Facility and its agencies and bilateral and multilateral agencies, as appropriate;

11. *Invites* Parties to enhance reporting on best practices related to capacity-building in their national communications, submissions and other relevant documents, with a view to furthering learning and broadening the impact of capacity-building activities;

12. *Requests* the Global Environment Facility, as an operating entity of the financial mechanism, to increase its support to capacity-building activities in developing countries in accordance with decisions 2/CP.7 and 4/CP.9;

13. *Urges* Parties included in Annex II to the Convention and other Parties that are in a position to do so, multilateral, bilateral and international agencies and the private sector to continue providing financial resources to support capacity-building action in developing countries;

14. *Invites* relevant United Nations agencies and intergovernmental organizations to continue providing support for capacity-building efforts in developing countries, emphasizing and stressing the need for full involvement of developing countries in the conception and development of such activities;

15. *Requests* the Subsidiary Body of Implementation, at its fortieth session, to initiate a third comprehensive review of the implementation of the framework for capacity-building in developing countries, with a view to completing the review at the twenty-first session of the Conference of the Parties.]

## 附件六

[English only]

**Text for a draft decision for consideration by the Subsidiary Body for Implementation at its thirty-third session****Draft decision -/CMP.6****[Capacity-building under the Kyoto Protocol**

*The Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol,*

*Recalling* decisions 6/CMP.4 and 7/CMP.5,

*Acknowledging* that capacity-building for developing countries is essential to enable them to participate in the implementation of the Kyoto Protocol,

*Noting* that a range of the priority areas identified in decisions 29/CMP.1 and 2/CP.7 are being addressed by Parties, multilateral and bilateral agencies [and the private sector], especially building capacity to develop and implement clean development mechanism project activities,

*Also noting* the [importance of the private sector] [role [that may be] [to be] played by the private sector] [additional role that may be played by the private sector] in building capacity to develop and implement clean development mechanism project activities,

*Acknowledging* the work undertaken in the context of the Nairobi Framework to catalyse the clean development mechanism in Africa [and the need to move the process further, ]

*Also noting* that key needs remain to be addressed to enable developing countries, in particular the least developed countries, African countries and small island developing States [and other vulnerable regions and countries], to effectively participate in the clean development mechanism,

*Having considered* the information in documents prepared by the secretariat in support of the second comprehensive review of the implementation of the framework for capacity-building in developing countries,<sup>1</sup>

1. *Decides* that the scope of capacity-building needs, as contained in the framework for capacity-building in developing countries,<sup>2</sup> the key factors identified in decision 2/CP.10 and the priority areas for capacity-building relating to the participation of developing countries in the clean development mechanism contained in decision 29/CMP.1 are still relevant;

2. *Encourages* Parties to further improve the implementation of capacity-building activities relating to the implementation of the Kyoto Protocol and to report on the effectiveness and sustainability of related capacity-building programmes;

<sup>1</sup> FCCC/SBI/2009/MISC.1, FCCC/SBI/2009/MISC.2, FCCC/SBI/2009/MISC.8, FCCC/SBI/2009/MISC.12/Rev.1, FCCC/SBI/2009/4, FCCC/SBI/2009/5 and FCCC/SBI/2009/10.

<sup>2</sup> Decision 2/CP.7.

3. *[Urges] [Invites]* Parties that are in a position to do so, multilateral, bilateral and international agencies and the private sector to continue to provide technical and financial resources in a coordinated manner to support capacity-building activities in developing countries as it relates to the implementation of the Kyoto Protocol, addressing the following challenges, inter alia:

- (a) Geographical distribution of clean development mechanism project activities;
- (b) Lack of technical expertise to estimate changes in carbon stock in soil;
- (c) The need to train and retain experts to plan and implement project activities;

4. *Invites* Parties included in Annex II of the Convention in a position to do so to provide capacity-building support for the planning and implementation of clean development mechanism project activities at national and regional levels, as appropriate;

5. *Decides* that further implementation of the framework for capacity-building in developing countries should be improved at the systemic, institutional and individual level, as appropriate, by:

- (a) Ensuring consultations with stakeholders throughout the entire process, from the design of clean development mechanism project activities to their implementation;
- (b) Enhancing integration of capacity-building needs relating to the participation in the Kyoto Protocol into national development strategies and plans;
- (c) Increased country-driven coordination of capacity-building activities;
- (d) Strengthened networking and information sharing among developing countries, especially through South-South and triangular cooperation;

6. *Encourages* cooperative efforts between developing country Parties and developed country Parties to conceptualise and implement capacity-building activities relating to the participation in the clean development mechanism;

7. *Encourages relevant* intergovernmental and non-governmental organizations, in particular the United Nations Development Programme, the United Nations Environment Programme, the World Bank Group, the African Development Bank and the secretariat of the UNFCCC, to continue enhancing and coordinating their capacity-building activities under the Nairobi Framework including support towards building skills;

8. *Decides* to initiate a third comprehensive review of the implementation of the framework for capacity-building in developing countries at the fortieth session of the Subsidiary Body for Implementation, with a view to completing it at the eleventh session of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol.

9. *Requests* the Subsidiary Body for Implementation to develop terms of reference for the third comprehensive review at its fortieth session.]

## 附件七

### 对适应基金进行初步审查的职权范围草案

#### [对适应基金进行初步审查的职权范围

#### 一. 引言

1. 作为《京都议定书》缔约方会议的《公约》缔约方会议(《议定书》/《公约》缔约方会议) 决定在第六届会议上对有关适应基金的所有事项进行审查, 包括体制安排, 以确保其效力和适当性。审查应当考虑到秘书处和为适应基金服务的托管人的绩效审查结果、缔约方及其他感兴趣的政府间组织和利害关系方提交的材料。《议定书》/《公约》缔约方会议还决定, 与全球环境基金(环境基金)达成的为适应基金董事会提供秘书处服务的临时体制安排, 以及与世界银行达成的请其担任适应基金托管人的临时体制安排, 也应在第六届会议上加以审查。<sup>1</sup>

2. 《议定书》/《公约》缔约方会议第五届会议请附属履行机构(履行机构)第三十二届会议启动对适应基金的审查, 商定审查的职权范围, 向《议定书》/《公约》缔约方会议第六届会议提出报告, 以便这届《议定书》/《公约》缔约方会议能够开展审查。<sup>2</sup>

#### 二. 目标

3. 此次初步审查的目标是确保适应基金及其临时体制安排的有效性和适足性, 以期《议定书》/《公约》缔约方会议第六届会议通过一项适当的决定。

#### 三. 范围

4. 对有关适应基金的所有事项进行审查, 包括体制安排。鉴于适应基金最近才开始全面运作, 审查应侧重:

[x. 总结基金在投入运作过程中到目前为止取得的进展和获得的教益[包括[由第 5/CMP.2 号决定第 2 段界定[并[参考][在]第 1/CMP.3 号决定[中]进一步编拟]的模式], 同时注意到这是一项仍在进行中的工作; ]

(a) 环境基金作为适应基金董事会临时秘书处的临时体制安排和世界银行作为适应基金临时托管人的临时体制安排, 以及适应基金董事会的工作安排;

<sup>1</sup> 第 1/CMP.3 号决定, 第 32-34 段。

<sup>2</sup> 第 5/CMP.5 号决定。

(b) 环境基金作为适应基金董事会临时秘书处和世界银行作为适应基金临时托管人的临时体制安排的业绩审查；以及

(c) 环境基金作为适应基金董事会临时秘书处、世界银行作为适应基金临时托管人以及适应基金董事会的各项服务的行政费用的比较评估。

#### 四. 方法

5. 为在《议定书》/《公约》缔约方会议上对适应基金进行初步审查，缔约方应利用下列投入：

(a) 缔约方、其他感兴趣的政府间组织和利害关系方，参考适应基金董事会提交《议定书》/《公约》缔约方会议的年度报告，就环境基金作为适应基金董事会临时秘书处的临时体制安排和世界银行作为适应基金临时托管人的临时体制安排以及适应基金董事会的工作安排等事项提交的材料；

(b) 由适应基金董事会或由该董事会为审查目的指定的某个独立实体针对为适应基金提供服务的秘书处和托管人进行的独立绩效审查；

(c) 环境基金作为适应基金董事会临时秘书处、世界银行作为适应基金临时托管人以及适应基金董事会的各项服务的行政费用的比较评估；

(d) 适应基金董事会提交《议定书》/《公约》缔约方会议的年度报告。]

## 附件八

[English only]

**Text for further consideration by the Subsidiary Body for Implementation and the Subsidiary Body for Scientific and Technological Advice**

**Matters relating to Article 3, paragraph 14, of the Kyoto Protocol**

1. [Recalling decision 31/CMP.1;
2. [[The Subsidiary Body for Implementation (SBI) acknowledged that the potential impacts of response measures is a challenge faced by all countries.] [Parties noted that striving to minimize the adverse impacts of mitigation policies and measures is a common concern of both developed and developing countries.] [They further noted that any consideration of these impacts should [initially] focus on the poorest countries and those least able to address those impacts.]]

Alt: [Parties noted that striving to minimize the adverse impacts of mitigation policies and measures is an obligation of Parties included in Annex I to the Convention (Annex I Parties) and a concern of developing countries and [emphasizing ][the SBI emphasized ]the commitment of Annex I Parties to minimize adverse social, environmental and economic impacts of response measures on developing country Parties, particularly those identified in Article 4, paragraphs 8 and 9, of the Convention.]

3. [[Recognizing][The SBI [and the SBSTA ]recognized] the special difficulties of those countries, especially developing countries, whose economies are particularly dependent on fossil fuel production, use and exportation[ and/or are faced with serious difficulties in switching to alternatives], as a consequence of action taken to limit greenhouse gas emissions.]
4. [[Recognizing][The SBI recognized] that developing country Parties need to be given full consideration as they would have to bear a disproportionate or abnormal burden under the Convention.]
5. [[Considering][Recalling][The SBI [and the SBSTA ]underlined] the importance of the principles outlined in Article 3 of the Convention in the implementation of Article 3, paragraph 14, [and Article 2, paragraph 3, ]of the Kyoto Protocol.]
6. [Developed country Parties shall not resort to any form of unilateral measures including countervailing trade measures, against goods and services imported from developing countries on grounds of protection and stabilization of the climate. Such measures would violate the principles and provisions of the Convention, including, in particular, those related to the principle of common but differentiated responsibilities (Article 3, paragraph 1), to trade and climate change (Article 3, paragraph 5), and to the relationship between mitigation actions of developing countries and the provision of financial resources and technology by developed country Parties (Article 4, paragraphs 3 and 7).]

Alt: [The SBI [and the SBSTA ]underlined the importance of Article 3 of the Convention in the implementation of Article 3, paragraph 14, and Article 2, paragraph 3, of the Kyoto Protocol.]

Alt: [Parties, in the pursuit of the objective and implementation of the Convention, shall not resort to any measures, in particular unilateral fiscal or non-fiscal measures applied at the border against goods and services imported from Parties, that constitute a means of arbitrary or unjustified discrimination or a disguised restriction on international trade, taking into account the relevant provisions of the Convention and further recognizing the principle enshrined in Article 3, paragraph 5.]

7. [The SBI [and the SBSTA ]acknowledged the work being carried out by other bodies under the Convention and its Kyoto Protocol, with the aim of maintaining an approach that is coherent with other relevant work under the UNFCCC process.]

8. [[Emphasizing][The SBI [and the SBSTA ]emphasized] that [developed country ]Parties [included in Annex I to the Convention]shall, in the implementation of policies and measures, strive to minimize the adverse effects, including the adverse effects of climate change, effects on international trade, and social, environmental and economic impacts on other Parties, especially developing country Parties, and in particular those identified in Article 4, paragraphs 8 and 9, of the Convention, taking into account its Article 3.]

9. [The SBI [and the SBSTA ]noted the need to deepen Parties' understanding of adverse impacts and the need to continue to share information on the nature of impacts of response measures. Sharing of information can be achieved through the regular and systematic provision by all Parties of information that is as complete as possible on potential and observed impacts of policies and measures, in particular through [Annex I ]national communications, and the regular review of this information.]

Alt: [[Acknowledging][The SBI [and the SBSTA ]noted ]the need to share information on the nature of adverse impacts of response measures experienced by developing country Parties and the steps Annex I Parties are taking, in the implementation of policies and measures under Article 2 of the Kyoto Protocol, to minimize adverse effects, especially on developing country Parties, in particular those identified in Article 4, paragraphs 8 and 9, of the Convention.]

Alt: [[Noting][The SBI [and the SBSTA ]]noted the importance of the exchange of information and the development of methodologies on the assessment of adverse social, environmental and economic impacts on developing country Parties, particularly those identified in Article 4, paragraphs 8 and 9, of the Convention.]

Option 1: The SBI [and the SBSTA ]also noted the complexities of assessing the attribution and causation of the adverse impacts of policies and measures, and that understanding of this could be achieved through:

(a) Assessments of potential impacts and observed impacts carried out by, inter alia, relevant national institutions and international organizations;

(b) Information from work being carried out by other UNFCCC bodies that may be relevant in considering potential impacts.

Option 2: The SBI [and the SBSTA ]noted the need to deepen the understanding of potential consequences of response measures taken by Annex I Parties on developing country Parties and that this can be achieved through various means including assessments of potential and observed impacts carried out by, inter alia, relevant national institutions and international organizations.

Option 3: The SBI [and the SBSTA ]noted the complexities of assessing the attribution and causation of the potential impacts of response measures. The SBI [and the



SBSTA ]also noted the need to deepen the understanding on the potential impacts of response measures to respond to climate change. This could be achieved through:

- (a) Assessments of potential impacts and observed impacts carried out by, inter alia, relevant national institutions and international organizations;
- (b) Information from work being carried out by other UNFCCC bodies that may be relevant in considering potential impacts;
- (c) The regular and systematic provision by all Parties of information that is as complete as possible on potential and observed impacts of policies and measures, in particular through national communications, and the regular review of this information.

10. Concerned about the gaps in methodology to incorporate information on actions to minimize the adverse impacts of response measures, in particular actions related to the areas listed in paragraph 8 of decision 31/CMP.1.

11. The SBI [and the SBSTA ]noted the work of the Intergovernmental Panel on Climate Change (IPCC) on international spillover effects as described in its Fourth Assessment Report, and [that the IPCC has decided][its plans] to further assess [this issue][and co-benefits and trade-offs] in its Fifth Assessment Report.

12. [The SBI [and the SBSTA ]invited Parties and relevant organizations to submit to the secretariat, by xx, further information and views on issues relevant to Article 3, paragraph 14[, and Article 2, paragraph 3,] of the Kyoto Protocol, including views on whether a workshop should be held on this matter, and on the issues to be dealt with at any such workshop and to compile the submissions into a miscellaneous document.]

Alt: [[Invites ][The SBI [and the SBSTA ]also invited] Annex I Parties to submit (by xx) information on the different ways used for reporting on actions to minimize the adverse impacts of response measures, in particular actions related to the areas listed in paragraph 8 of decision 31/CMP.1 and [requests ][requested ]the secretariat to compile the information submitted above.]

13. [Decides][The SBI [and the SBSTA ]decided ]to work on a road map for a phased approach to the implementation of Article 3, paragraph 14, of the Kyoto Protocol, to further its implementation and in accordance with decision 13/CMP.1, and to establish a common reporting methodology to incorporate information on actions to minimize the adverse impacts of response measures, in particular actions related to the areas listed in paragraph 8 of decision 31/CMP.1. The SBI [and the SBSTA ]also decided that the common reporting methodology shall be guided by transparency, consistency, comparability, completeness and accuracy.

14. [Requests][The SBI [and the SBSTA ]requested] the IPCC to develop guidelines to help determine if Parties included in Annex I to the Convention are striving to minimize adverse effects, including the adverse effects of climate change, effects on international trade, and social, environmental and economic impacts on other Parties, especially developing country Parties, and in particular those identified in Article 4, paragraphs 8 and 9 of the Convention.

15. [Decides][The SBI [and the SBSTA ]decided] to consider what further actions are necessary to help developing country Parties, and in particular those identified in Article 4, paragraphs 8 and 9, of the Convention. Among the issues to be considered shall be the establishment of funding, insurance and transfer of technology, pursuant to Article 3, paragraph 14.

16. The SBI [and the SBSTA ]agreed to continue their consideration of these matters at their xx sessions in a joint contact group.]

## 附件九

[English only]

**Privileges and immunities for individuals serving on constituted bodies established under the Kyoto Protocol****Draft treaty arrangements developed by the Contact Group**

1. Individuals serving on constituted bodies and other entities [established under the Kyoto Protocol] [established under the United Nations Framework Convention on Climate Change and its related legal instruments] listed in [annex] [appendix] [x] shall be accorded such [privileges and] immunities as are necessary for the independent exercise of their official functions. They shall, while exercising their official functions, including the time spent on journeys in connection with their official functions, be accorded:

(a) [Immunity from personal arrest or detention;

(b) [Exemption from inspection of personal baggage, unless there are serious grounds for believing that the baggage contains articles not for personal use or articles the import and export of which is prohibited by law or controlled by the quarantine regulations of the Party concerned; inspection in such a case shall be conducted in the presence of the individual concerned; ]

b bis. [The same immunities and facilities in respect of their personal baggage as are accorded to diplomatic envoys; ]

(c) Immunity from legal process of every kind in respect of words spoken or written and acts done by them in the course of the performance of their official functions. This immunity from legal process shall continue to be accorded to the individuals referred to in this paragraph notwithstanding that they have ceased to exercise their official functions;

(d) Inviolability for all papers and documents;

(e) [For the purpose of their communication with the constituted bodies and other entities listed in [annex] [appendix] [x] and with the secretariat, the right to use codes and to receive and send papers and documents in whatever form and materials relating to their official functions by courier or in sealed bags or electronic means; ]

(f) [The same repatriation facilities in time of international crisis as are accorded to diplomatic agents under the Vienna Convention; ]

(g) [[Streamlined processing of visa applications for] [Applications for visas by] the individuals referred to in this paragraph, when accompanied by a document from the secretariat confirming that they are travelling on the business of the constituted bodies and other entities listed in [annex] [appendix] [x], [shall be dealt with as speedily as possible [and granted free of charge]].]

2. [Individuals invited by the constituted bodies and other entities [established under the Kyoto Protocol] [established under the United Nations Framework Convention on Climate Change and its related legal instruments] listed in [appendix] [annex] [x] to provide expert advice at meetings of these constituted bodies and other entities [established under the Kyoto Protocol] [established under the United Nations Framework Convention on Climate Change and its related legal instruments] listed in [appendix] [annex] [x] shall,

during the period of their service to the relevant constituted body or other entity, including the time spent on journeys in connection with their service, be accorded the [privileges and] immunities referred to in subparagraph[s] [x] of paragraph 1 above.]

3. The individuals referred to in paragraph [1] above are those individuals elected, selected or appointed to serve on the constituted bodies and other entities [established under the Kyoto Protocol] [established under the United Nations Framework Convention on Climate Change and its related legal instruments] listed in [appendix] [annex] [x].

4. [Privileges and] immunities are granted to the individuals referred to in paragraphs [1] [and [2]] above for the independent exercise of their official functions [and the effective implementation of [the Kyoto Protocol] [this agreement] [the United Nations Framework Convention on Climate Change and its related legal instruments]] and not for the personal benefit of the individuals themselves. The [Executive Secretary of the secretariat [in consultation with xxx]] shall have the right and the duty to waive the immunity of any individual referred to in paragraphs [1] [and [2]] above in any case where, in his or her opinion, the immunity would impede the course of justice and can be waived without prejudice to the interests of the [operation and implementation of [the Kyoto Protocol] [this agreement]] [operation and implementation of the United Nations Framework Convention on Climate Change and its related legal instruments].

5. [The list contained in [appendix] [annex] [x] may be revised [through a decision of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol.]

5 bis. [The list contained in [appendix] [annex] [x] may be revised in accordance with the following procedure: <sup>1</sup>

(a) Any Party may propose amendments to [appendix] [annex] [x];

(b) Amendments to [annex] [appendix] [x] shall be adopted at an ordinary session of the [supreme body of the agreement]. The text of any proposed amendment to [annex] [appendix] [x] shall be communicated to the Parties by the secretariat at least six months before the meeting at which it is proposed for adoption. The secretariat shall also communicate the text of any proposed amendment to [annex] [appendix] [x] to the Parties and signatories to the Convention and, for information, to the Depositary;

(c) The Parties shall make every effort to reach agreement on any proposed amendment to [annex] [appendix] [x] by consensus. If all efforts at consensus have been exhausted, and no agreement reached, the amendment to [annex] [appendix] [x] shall as a last resort be adopted by a three-fourths majority vote of the Parties present and voting at the meeting. The adopted amendment to [annex] [appendix] [x] shall be communicated by the secretariat to the Depositary, who shall circulate it to all Parties for their acceptance;

(d) An amendment to [annex] [appendix] [x] that has been adopted in accordance with paragraph 5 bis (b) and (c) above shall enter into force for all Parties to this [agreement] six months after the date of the communication by the Depositary to such Parties of the adoption of the amendment to the [annex] [appendix] [x], except for those Parties that have notified the Depositary, in writing, within that period of their non-acceptance of the amendment to [annex] [appendix] [x]. The amendment to [annex] [appendix] [x] shall enter into force for Parties which withdraw their notification of non-acceptance on the ninetieth day after the date on which withdrawal of such notification has been received by the Depositary;

(e) If the adoption of an amendment to [annex] [appendix] [x] involves an amendment to this [agreement], that amendment to [annex] [appendix] [x] shall not enter into force until such time as the amendment to this [agreement] enters into force;

<sup>1</sup> This paragraph shall be revisited in the light of the overall discussions of the amendment procedures.

(f) [Annex ] [Appendix] [x] to this [agreement] shall form an integral part thereof and, unless otherwise expressly provided, a reference to this [agreement] constitutes at the same time a reference to [annex] [appendix] [x].]

**[Appendix ] [Annex] [X]**

1. Executive Board of the clean development mechanism.
2. [Compliance Committee.]
3. Joint Implementation Supervisory Committee.
4. [Adaptation Fund Board.]
5. Expert review teams established under Article 8 of this Protocol.
6. [Committees, panels or groups established by the entities listed in 1-4 above.]

*[And other relevant constituted bodies and entities agreed through the post-2012 process*

## 附件十

## 附属履行机构第三十二届会议收到的文件

## 为本届会议编写的文件

FCCC/SBI/2010/1	临时议程和说明。执行秘书的说明
FCCC/SBI/2010/2	欧洲区域《公约》第六条执行问题区域研讨会报告。秘书处的说明
FCCC/SBI/2010/3	亚洲和太平洋《公约》第六条执行问题区域研讨会报告。秘书处的说明
FCCC/SBI/2010/4	全球环境基金关于波兹南技术转让战略方案执行进展情况的报告。秘书处的说明
FCCC/SBI/2010/5	最不发达国家专家组第十七次会议报告。秘书处的说明
FCCC/SBI/2010/6	哈萨克斯坦关于修正《京都议定书》附件 B 的提案。秘书处的说明
FCCC/SBI/2010/7	适应基金审查工作职权范围草案。秘书处的说明
FCCC/SBI/2010/8	政府间会议的安排。执行秘书的说明
FCCC/SBI/2010/9	拉丁美洲和加勒比《公约》第六条执行问题区域研讨会报告。秘书处的说明
FCCC/SBI/2010/INF.1	第五次国家信息通报提交和审评情况。秘书处的说明
FCCC/SBI/2010/INF.2	非《公约》附件一缔约方国家信息通报问题专家咨询小组工作进度报告。秘书处的说明
FCCC/SBI/2010/INF.3	关于全球环境基金为非《公约》附件一缔约方编制国家信息通报提供资金支持的信息。秘书处的说明
FCCC/SBI/2010/INF.4	关于审查和评估《公约》第四条第 1 款(c)项和第 5 款的执行有效性的报告
FCCC/SBI/2010/INF.5/Rev.1	截至 2010 年 5 月 15 日的缴款状况。秘书处的订正说明。秘书处的说明
FCCC/SBI/2010/INF.6	关于附属履行机构第二十九届会议商定的审查和评估《公约》第四条第 1 款(c)项和第 5 款的执行有效性的职权范围第四节所列重点领域的意见的最新综合报告。秘书处的说明
FCCC/SBI/2010/MISC.1 和 Add.1	关于可能进一步采取行动争取第 1/CP.10 号决定的执行工作取得进展问题的意见。缔约方和相关组织提交的材料

FCCC/SBI/2010/MISC.2	关于可能拟订的适应基金审查工作职权范围的意见和建议。缔约方提交的材料
FCCC/SBI/2010/MISC.3	关于附属履行机构第二十九届会议商定的审查和评估《公约》第四条第1款(c)项和第5款的执行有效性的职权范围第四节所列重点领域的意见的最新综合报告。缔约方和相关组织提交的材料
FCCC/SBI/2010/MISC.4	关于执行秘书在国际交易日志费收取方面应采取的方针的意见。缔约方提交的材料
FCCC/SB/2010/INF.1 和 Corr.1	技术转让专家组报告。技术转让专家组主席的说明
FCCC/TP/2010/1	国际交易日志收费的各种备选方法。技术文件
<b>本届会议收到的其它文件</b>	
FCCC/CP/2009/9	全球环境基金提交缔约方会议的报告。秘书处的说明
FCCC/CP/2009/11 和 Add.1	缔约方会议第十五届会议报告，2009年12月7日至19日在哥本哈根举行
FCCC/KP/CMP/2009/15	《京都议定书》之下附件 B 缔约方的年度汇编和核算报告。秘书处的说明
FCCC/KP/CMP/2009/15/Add.1	《京都议定书》之下附件 B 缔约方的年度汇编和核算报告。增编。缔约方的汇编和核算信息。秘书处的说明
FCCC/KP/CMP/2009/16	清洁发展机制执行理事会提交作为《京都议定书》缔约方会议的《公约》缔约方会议的年度报告
FCCC/KP/CMP/2009/21 和 Add.1	作为《京都议定书》缔约方会议的《公约》缔约方会议第五届会议报告，2009年12月7日至19日在哥本哈根举行
FCCC/KP/CMP/2005/2	沙特阿拉伯关于修正《京都议定书》的提案。秘书处的说明
FCCC/SBI/2009/4	为支持能力建设框架第二次全面审查编写的发展中国家能力建设框架执行进展和成效的分析报告。秘书处的说明
FCCC/SBI/2009/5	关于使用业绩指标监测和评价国家和全球两级能力建设方面经验和教训的综合报告。秘书处的说明
FCCC/SBI/2009/8	附属履行机构第三十届会议报告，2009年6月1日至10日在波恩举行
FCCC/SBI/2009/10	关于发展中国家能力建设框架执行情况的综合报告。秘书处的说明
FCCC/SBI/2009/12	1990-2007年期间国家温室气体清单数据。秘书处的说明

FCCC/SBI/2009/15	附属履行机构第三十一届会议报告，2009 年 12 月 8 日至 12 日在哥本哈根举行
FCCC/SBI/2009/INF.9	第五次国家信息通报提交和审评情况。秘书处的说明
FCCC/SBI/2009/INF.11	关于全球环境基金为非《公约》附件一所列缔约方编制国家信息通报提供资金支持的信息。秘书处的说明
FCCC/SBI/2009/MISC.1	关于使用业绩指标监测和评价国家和全球两级能力建设方面经验和教训的信息。缔约方和政府间组织提交的材料
FCCC/SBI/2009/MISC.2	有关能力建设框架第二次全面审查完成情况的补充或最新信息和意见。缔约方提交的材料
FCCC/SBI/2009/MISC.8	根据第 2/CP.7 号决定执行发展中国家能力建设框架的活动。缔约方和有关组织提交的材料
FCCC/SBI/2009/MISC.10 和 Add.1	作为资金机制经营实体的全球环境基金之下各基金的运作情况，以及气候变化特别基金和最不发达国家基金运作情况。缔约方提交的材料
FCCC/SBI/2009/MISC.12/Rev.1	坦桑尼亚联合共和国代表 77 国集团和中国以及瑞典代表欧洲联盟及其成员国就完成《公约》和《京都议定书》之下发展中国家能力建设框架第二次全面审查提交的材料
FCCC/SB/2007/INF.2	“毛里求斯战略”各项规定与《公约》及其《京都议定书》工作的关系。秘书处的说明

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