

## Summary of UNFCCC Submissions

September 18, 2009

The following is a summary of Party submissions from August 2008 through September 2009. Section I contains submissions as they relate to measurable, reportable and verifiable support and actions, Section II contains submissions related to shared vision, Section III contains the legal aspects of proposals for an agreed outcome, Section IV contains submissions on finance, and Section V summarizes submissions on technology, and Section VI summarizes Party presentations on the Architecture of a post-2012 Agreement in Bonn on August 7, 2009. Multiple Party submissions have been synthesized into one row, and the dates in parentheses indicate the date of the submissions reviewed by the authors. The final page lists the acronyms used in the tables. Please note that these tables represent WRI's interpretation of a selection of Party submissions, and do not necessarily reflect the complete views of the Parties.

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World Resources Institute Working Papers contain preliminary research, analysis, findings and recommendations. They are circulated without a full peer review to stimulate timely discussion and to influence ongoing debate on emerging issues. Most working papers are eventually published in another form and their content may be revised.

SECTION I. PARTY SUBMISSIONS ON MRV

The main themes reflected in the WRI publication “Keeping Track” (June 2009) are color coded here: Registry, Verification, MRV of Support, National Climate Action Plans

COUNTRY	TYPES OF ACTIONS AND OBLIGATIONS	SUPPORT MECHANISM	MEASUREMENT	REPORTING	VERIFICATION	INSTITUTIONS
<b>Algeria on behalf of African Group</b> (April 2009)				ACTIONS NAMAs reportable through national communications if unilateral, or in a registry if supported  SUPPORT Developed countries report financing and technology transfer in Annex 1 national communications	unilateral actions should be verified by national entities working with international guidelines.  supported actions verification takes place through the UNFCCC	Supported actions reported in a registry
<b>Antigua - G77 &amp; China</b> (“A Technology Mechanism under the UNFCCC.” 27 Aug 2008.)		Additional Annex II funding, and only those under the UNFCCC shall be MRV.  FINANCE MECHANISM MCTF  UNFCCC funding only. Should be new and additional.	ACTIONS Both mitigation and adaptation technology related actions; commercialisation, manufacturing and procurement actions	By the secretariat to the EB	SUPPORT Verification body MRVs financial and technical contributions	A technology mechanism under the COP that has a Verification body: MRVs, as well as an EB
<b>AOSIS</b> (December 2008) (Workshop presentation of 04/01/09 in Bonn) (March 2009)	Countries should be prepared to pursue a “clean development path”, including renewable energy and energy efficiency policies  “target” for major emitting developing countries;  Within the context of NAMAs developing countries may wish to explore sectoral approaches	FINANCE MECHANISM Funding from auctioning of AAUs under the Convention.  By way of international register of support; for both developed and developing country contributions;  An incentive mechanism should be established for developing countries to take specific voluntary NAMAs targets.	ACTIONS IPCC methodologies and annual reports. Overall reduction of GHG emissions, including energy efficiency and renewable energy targets	ACTIONS Voluntary, recorded in an international registry held by UNFCCC Secretariat. Major emitting developing countries [based on absolute emissions] take specific NAMA targets.	SUPPORT Financial commitments by developed countries must be fully MRVed. “Verified by means of international register of contributions by developed and developing countries”  ACTIONS Verification of actions by independent review. MRV actions should result in deviation from emissions growth from BAU  International verification under Convention of supported NAMAs	Voluntary, recorded in an international registry held by UNFCCC Secretariat.

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<p><b>Argentina</b> (February 2009) (April 2009)</p>	<p>Developing countries should discuss the level and types of mitigation actions required to achieve long-term goals, cautioning against sector-specific actions, particularly in the agricultural sectors because of the pressure on the global food supply</p>	<p>The concept of contraction and convergence, supported by adequate financing, technology and capacity building and compensation for lost development opportunity, remains an option for consideration within these negotiations.</p> <p>FINANCE MECHANISM Support proposal by G77 and China for MCTF</p> <p>Link between action and level and type of support.</p>	<p>ACTIONS A rights-based approach</p> <p>SUPPORT The proposed actions will inform the level and types of support</p> <p>The new body on technology transfer and financing should contribute to the measuring, reporting and verifying of both the actions and the support for the actions</p>	<p>The new body on technology transfer and financing should contribute to the measuring, reporting and verifying of both the actions and the support for the actions</p>	<p>The new body on technology transfer and financing should contribute to the measuring, reporting and verifying of both the actions and the support for the actions</p> <p>ACTIONS No MRV of unsupported actions</p>	
<p><b>Australia</b> (December 2008) (March 2009) (April 2009) (May 2009) (June 2009)</p>	<p>“national pathways for transitioning to low a low carbon economy” are also “registered” in the “schedules”.</p> <p>Differentiation based on GDP (and UNFCCC objective criteria). Similar national circumstances take on similar mitigation efforts.</p> <p>Each schedule should include: - national emissions pathway to 2050 - NAMA or NAMC for the commitment period</p> <p>Acknowledgement of concept of “low emission development strategy”</p>	<p>Consistent with Article 11.5 of the Convention, support will not solely be governed by COP, but also provided and accessed by bilateral, multilateral and regional channels</p> <p>“Facilitative platform” set up in relation to the National Schedules and the Low Emission Development Strategies.</p>	<p>ACTIONS MRV should focus on actions capable of achieving “QELRO” (if outcomes not directly measurable, can be extrapolated or projected). Those difficult to measure in terms of emissions require a different approach.</p> <p>Need consistent principles for MRV under a one protocol structure.</p> <p>“MRV system calibrated according to Parties’ responsibilities and capabilities, and according to the types of commitments and actions registered” (for example: more stringent for supported actions that generated carbon credits). MRV system “underpinned by the submission of regular national inventories”.</p>	<p>Single treaty approach allows for schedules to be adopted as annexes to a treaty. Schedules would reflect country specific mitigation commitments and actions and could also reflect support pledges. Allow for reporting of spectrum of NAMA and NAMCs by all Parties. Schedules negotiated through a ‘request-offer’ or ‘offer-review’ approach.</p> <p>ACTIONS Move towards standardized reporting across both developed and developing, e.g. inventory data</p> <p>SUPPORT Use current reporting system, with revision of reporting guidelines</p>	<p>In-depth review, higher standard of verification for supported actions to garner “high degree of international confidence”.</p> <p>“regular, general review of all schedules at fixed intervals after the treaty enters into force”</p>	

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<b>Bangladesh</b> (April 2009)	<p>A NAMA can be climate specific or climate relevant (undertaken regardless of climate change but which directly affects GHG mitigation, e.g. energy efficiency policy).</p> <p>“A NAMA may be a broad statement of policies and measures including national strategy on climate change to improve carbon and energy intensity or any sector or the national economy as a whole.”</p>		<p>The measurement and verifiability of a NAMA “shall depend on TFCB”</p>	<p>“NAMAs may be reported as part of a Registry to be maintained by the UNFCCC”</p>	<p><b>ACTIONS</b> The measurement and verifiability of a NAMA “shall depend on TFCB”</p> <p><b>SUPPORT</b> “a monitoring mechanism should be put in place as part of a compliance mechanism through periodic review of the implementation of commitments by Annex-I Parties, in a measurable, reportable and verifiable manner.”</p>	<p>“NAMAs may be reported as part of a Registry to be maintained by the UNFCCC”</p>
<b>Brazil</b> (February 2009) (workshop presentation of 04/01/09 in Bonn) (April 2009)	<p>Against trans-national sectoral mitigation targets</p>	<p><b>FINANCE MECHANISM</b> Agrees with how G77 incorporates MRV in the tech and finance mechanisms</p>	<p><b>ACTIONS</b> For Annex I countries...the measurement is “the compliance with commitments” For non-Annex I countries... the measurement is “the mitigation result generated by each action and the financial and technological support awarded to each action”</p> <p><b>SUPPORT</b> Support must also be MRV</p>	<p>Ask for indicators of tech transfer to NA1 and to MRV them.</p> <p>Supports idea of registry for NAMAs and financial contributions and for linking the two. NA1 countries would voluntarily propose actions for the registry, along with an estimate of international support needed and mitigation benefits.</p> <p>NAMAs under 1.b.ii are distinct from the significant mitigation actions that non-Annex I countries have been implementing based on their own resources. Recognition of unilateral actions by NA1 countries is important but falls outside of the framework defined under subparagraph 1.b.ii</p> <p>Participation to registry open to all developing countries. Should include forest activities.</p> <p>Registry only for large-scale mitigation programs, beyond projects.</p> <p>Registry not the instrument to channel funding for capacity building actions.</p>	<p>Measurability, reportability and verifiability are different for Annex I countries and non-Annex I countries.</p> <p>Measurable, reportable and verifiable mitigation actions are only those enabled by measurable, reportable and verifiable support.</p> <p>The results of NAMAs under 1.b.ii should be MRV according to national measuring and reporting procedures and UNFCCC verification.</p> <p>MRV the result of proposed actions, nationally measured in terms of direct emission reductions</p>	<p>Supports idea of registry for NAMAs and financial contributions and for linking the two.</p>

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Canada (April 2009)				All Parties should establish and report to the Secretariat (1) “long-term national greenhouse gas emissions limitation or reduction pathway” subject to review by the COP (2) National inventories (3) register NAMAs supported by TFCB.	Regular review of NAMAs in the registry	“register NAMAs” supported by TFCB
China (September 2008) (April 2009) (workshop presentation of 04/01/09 in Bonn)	“The form of specific actions shall be subject to the determination of each developing country, taking into account its respective capacities and specific national circumstances.”	<p>FINANCE MECHANISM</p> <p>Institutional arrangement should include: Adaptation Fund, Mitigation Fund, Multilateral Technology Acquisition Fund and Capacity Building Fund.</p> <p>General - support for Philippines Proposal for mitigation fund under the COP. A Multilateral Technology Acquisition Fund (MTAF) shall be established with sources mainly from public finance from developed countries. Funding from auctioning of AAUs under the Convention.</p> <p>A Subsidiary Body for Development and Transfer of Technologies would serve multiple roles, including “management of financial resources targeting at development, transfer, and deployment of EST”</p> <p>“Developing countries propose lists of NAMAs together with technology, finance and capacity building support.” in a mechanism to match actions with support.</p>	<p>ACTIONS</p> <p>Technology - Performance assessment and monitoring. The speed, range, scale, and barriers of technological flows from developed to developing countries shall be regularly monitored and assessed.</p> <p>SUPPORT</p> <p>“Any funds pledged outside UNFCCC shall not be regarded as fulfillment of commitments by developed country parties ....”</p>	EB would invest in “information infrastructures”, which could include MRV	<p>On technology - The speed, range, scale, and barriers of technological flows from developed to developing countries shall be regularly monitored and assessed. A set of indicators, data base, steps and modalities shall be developed to implement monitoring and assessment - by panel under EB. The results of monitoring and assessment shall be fully used for planning and further decisions</p> <p>MRV of NAMAs undertaken by developing country national entities under the guidance of the UNFCCC.</p>	MTAF
Colombia (April 2009)					SUPPORT: Establishment of a compliance mechanism under the Technology Mechanism to review compliance of Annex I provision of financial resources	

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Costa Rica, El Salvador, Honduras, Nicaragua, Panama (September 2008)	Voluntary and nationally appropriate mitigation actions in the context of sustainable development, supported and enabled by technology, financing and capacity building, in a measurable, reportable and verifiable manner.	<p>1. Developed countries should agree to a quota of technological and financial transfer to sustain voluntary mitigation actions in developing countries; 2. Developing countries could establish a list of possible mitigation options, each associated with a cost; 3. The developed countries could then bid or select from the developing country proposals; thereby allowing countries to cooperate to reach this common mitigation goal; 4. The technological and financial support pledged by the developed countries should be verified by an independent body to ensure that countries meet this new commitment.</p> <p>FINANCE MECHANISM Support Norway proposal</p>	<p>SUPPORT</p> <p>Essential that developed countries commit to a target of financial aid and technology transfer to sustain the efforts of developing countries</p>	<p>ACTIONS</p> <p>Advanced developing countries would put forward national climate action plans that indicate which (additional) nationally appropriate mitigation action they could implement unilaterally in line with their common but differentiated responsibilities and capabilities, and what further actions they could take with the support of developed countries.</p>	<p>SUPPORT</p> <p>The technological and financial support pledged by the developed countries should be verified by an independent body to ensure that countries meet this new commitment.</p>	<p>Developing countries could establish a list of possible mitigation options, each associated with a cost</p>
Cuba (February 2009)	“These voluntary and non-binding actions must be implemented in a bottom-up fashion through steps that reduce emissions based on the emissions baseline” Examples include regulations and standards, voluntary agreements among the government, the private sector and other interested parties, investment in R&D	Support institutions proposed by the G77 & China submission on tech and finance	<p>ACTIONS</p> <p>Examples: emissions intensity, per GNP unit, modifications of the energy matrix, (i.e. increase in use of renewable energy), sustainable development policies, strategies and programs</p>		<p>SUPPORT</p> <p>An EB on Technology would verify Annex I Parties’ support for joint-technology cooperation programs with developing countries</p>	

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<b>Ecuador</b> (February 2009) (April 2009)	<p>For developed countries, emissions reductions should be MRV'd Developing countries will take on voluntary actions only when: “- developed countries demonstrate real achievement of their commitment under the Convention and KP - developed countries provide real, measurable, predictable, and verifiable support in the form of finance and technology transfer - actions and measures already being taken by developing countries without any agreement”</p> <p>Allow innovative NAMAs such as mainting oil underground in exchange for international compensation for the foregone revenue.</p>	<p>“Real, measurable, predictable and verifiable support in the form of finance and technology transfer”</p> <p>FINANCE MECHANISM Include innovative financial mechanisms to compensate developing countries for foregoing GHG emitting economic activities (such as drilling of oil)and make the access to funds as direct as possible with few intermediary institutions</p>	<p>For REDD, need to establish a transparent system at all phases from design to implementation up to the reporting to third parties including the Convention and its Parties and civil society [note: this is an important mention of upward and downward accountability] - for REDD, use methodologies developed by the IPCC in the case of actions receiving international support</p>		<p>Developed Countries: “The Convention should set methods to measure, report and verify emissions reductions as well as the support in the form of finance, technology transfer and adaptation” Developing countries: “An information system should be set up with indicators to measure the mitigation programs and efforts of major emitting developing countries.”</p>	

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EU (Communication by commission, not official submission January 2009) (March 2009) (April 2009)	<p>All developing countries integrate Low Carbon Development Strategy covering all key emitting sectors, and have LCDS in place as soon as possible and no later than 2012. Elaboration of LCDS supported financially in the case of LDCs.</p> <p>The LCDS would:</p> <ol style="list-style-type: none"> <li>1. indicate autonomous action that is mainly to be financed and implemented by the country itself;</li> <li>2. identify barriers to the implementation of autonomous action, including identifying technology needs and barriers to technology deployment and diffusion, whose removal needs support;</li> <li>3. action that, due to the incremental costs, requires assistance, in the form of financing, technology or capacity building for implementation;</li> <li>4. specify, when relevant, what type of support (in terms of finance, capacity-building and technology) it considers most appropriate to enable the implementation of the NAMA;</li> <li>5. specify, when relevant, if the use of a carbon market mechanism is proposed, and the associated caps and thresholds;</li> <li>6. specify the outcomes of the NAMA that are foreseen in terms of emission reductions (for several time horizons, e.g. 2020, 2030 and 2050) and provide indications on how these emission reductions were estimated.”</li> </ol>	<p>LCDS is “underpinning structure for linking action with support in an MRV manner”. Registry is what directs support. Provision on support based on “polluter-pays principle and each country’s economic capability”</p> <p>FINANCE MECHANISM GCFM (funding early action) to raise 1 billion euros per year between 2010-2014 based on issuance of bonds, covers adaptation and mitigation.</p> <p>Facilitative mechanism as a platform to match action with support.</p>		<p>LCDS by 2011 for all developing countries except LDC. International registry of NAMAs to be reviewed by UN Climate Change Conference. Registry allows for review of LCDS to ensure sufficient ambition level. Inventories for all Parties and no later than 2011.</p> <p>International registry of NAMAs to be reviewed by UN Climate Change Conference. Registry allows for review of LCDS to ensure sufficient ambition level. Inventories for all Parties and no later than 2011</p>	Independent technical analysis to review strategies.	<p>Establish a “coordinating mechanism” which would provide:</p> <ol style="list-style-type: none"> <li>a) A technical assessment of the LCDS and the NAMAs contained therein and of the corresponding needs for support identified, in particular in terms of contribution of the proposed emission pathway to the substantial deviation from business as usual emission projections (we could explore setting up supporting technical bodies for this phase, bringing in relevant expertise, including from the private sector).</li> <li>b) Matching action to support, in such a way as to maximise the cost-efficiency and to strengthen financing for NAMAs (i.e. as to maximise emissions reductions achieved with regard to the support provided), taking into account the capability of each country.</li> <li>c) Validating matched action and support.</li> </ol> <p>Also, creation of a register in which to enscribe NAMAs and corresponding support with a view to recognising actions undertaken by developing countries.</p>

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Guyana (April 2009)	Vulnerable countries establish a “low carbon development path or strategy” with support from industrialized countries. Later in the submission, it is stated that developing country NAMAs may “include low-carbon development plans and strategies”.				“more flexible verification requirements for any type of action should apply to LDCs and small island and coastal low lying developing states”	
India (December 2008) (April 2009) (August 2009)	<p>“NAMAs envisaged in the BAP do not include national actions by developing countries with their own resources and without external support.” They are defined as “voluntary actions proposed by developing countries, that require to be supported and enabled by technology transfer, capacity building and financial transfers by developed countries.”</p> <p>Nationally appropriate = nationally determined, but must be comparable efforts and therefore negotiated through the UN-FCCC. All developed countries must have quantifiable emission reductions.</p> <p>Mitigation measures in developing countries shall be compensated by the developed countries to the extent of the full incremental costs. “the climate change funds are meant for addressing climate change actions in relation to BAP, and not to any other objectives.</p>	<p>Support based on art. 4.3, 4.5 and 4.7 of Convention</p> <p>FINANCE MECHANISM Support G77 proposal (0.5% of GDP) - form = resource transfers or grants. MCTF financed by Annex II (covering full costs and incremental costs). No non UNFCCC funds. Funding with a common architecture under the UNFCCC that treats financing as “entitlement not aid” Finance must be considered a “legal obligation” and not be structured as “repayable loans”.</p> <p>Establish a register of supported NAMAs. But the matching of actions with support is done by an agreement between the proposer developing country and the financial mechanism.</p> <p>Funding will be new and additional, over and above all existing and likely flows from domestic and foreign official and private sources currently financing development.</p> <p>Donors do not decide what, how much or how actions get funded</p>	<p>“Emission limitations are excluded in the case of developing countries”</p> <p>Actions only MRVed when they are being supported “MRV applies only in the context of contractual arrangements under which they receive financial, technological and capacity-building support”</p> <p>Monitor technology-related activities, using performance indicators</p>	<p>ACTIONS No review of mitigation measures adopted by developing countries.</p> <p>Periodically report progress on technology-related activities to the COP on the performance assessment, including the speed of technology flows and the range of effectiveness of tech. transferred</p>	<p>ACTIONS MTCF would have a verification board But only verify action when there is a “contractual arrangement” to receive support for those actions</p> <p>Actions only MRVed when they are being supported “MRV applies only in the context of contractual arrangements under which they receive financial, technological and capacity-building support”</p> <p>SUPPORT Executive Board of Financial Mechanism shall manage a certification and registry system for receiving financial resources</p>	<p>1. A technology mechanism under the COP (an MCTF and EB) 2. A new mechanism for adaptation 3. A registry that is “a compilation of NAMAs proposed voluntarily by developing countries, along with an estimate of their mitigation benefits and the estimated incremental costs &amp; technology requirements”</p> <p>Must be under “direct control of the COP” with an “Executive Board, a professional secretariat and appropriate technical committees”</p> <p>Registry should be supported by: - A technical panel established under the convention to assess both the assumptions and methodology underpinning NAMAs and the support required for such actions, - A new body established under the CoP that will conduct the verification of NAMAs and their corresponding technology, finance and capacity-building support</p>

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<p><b>Indonesia</b>                      (December 2008)                      (April 2009)</p>	<p>developing countries should “pursue a sustainable development strategy (an economic development strategy that [is] socially cohesive and environmentally sustainable) in accordance with their respective capabilities”.</p> <p>“Developing Country Parties may submit a no lose target as deviation from business as usual (BAU) development that will be pursued in the form of Nationally Appropriate Mitigation Actions (NAMAs) supported and enabled by technology, financing and capacity building, in a measurable, reportable and verifiable manner.”</p>			<p>QERCs and developing country “no-lose target of NAMAs as deviation from the baseline” are “reported, registered and verified” by a new body established by the COP</p>	<p>QERCs and developing country “no-lose target of NAMAs as deviation from the baseline” are “reported, registered and verified” by a new body established by the COP.</p> <p>Supported and unilateral NAMAs get MRVed by the new international body</p>	<p>A registry would be established for NAMAs and NAMACs (NAMA and NAMA and commitments) of developing and developed countries</p>

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<p><b>Japan</b> (February 2008) (April 2009) (May 2009) (June 2009)</p>	<p>Actions depend on (a) Differentiation of developing countries, ie the following 3 groups: (i) developing countries which are expected to take further mitigation actions - economic development stages, response capabilities, shares of GHG emissions in the world, etc; (ii) developing countries whose emissions are very low (LDCs and SIDS); (iii) other developing countries</p> <p>Developing country mitigation actions should be based on 1) economic development stages; 2) response capabilities; 3) shares of GHG emissions in the world</p> <p>Propose graduation for developing countries, all Parties would take on increased responsibility over time. Criteria for review of the change in circumstances should be determined by a COP decision</p>	<p><i>New contributions should be counted from outside the UNFCCC, i.e. WB CIFs, ODA, “R&amp;D investment and investment through markets”</i></p> <p>FINANCE MECHANISM Sectoral crediting mechanism will be discussed as a means to assist nationally-appropriate mitigation actions by developing countries. For technology, consideration should be given as to how to promote private loans for technological inducement and investment, which are related to the improvement of intensity in each sector as well as measures with co-benefits.</p> <p>Reliance on CDM to generate support for NAMAs, to MRV the actions, and give recognition to developing countries for their actions.</p> <p>Developed countries should provide support to strengthen data collection capacity in developing countries. Incentivize countries to build MRV capacity. Countries with appropriate measurement and reporting capacity should receive technology and finance support in priority.</p> <p>“each host developing country party has the option to select, based on its circumstance or the project it pursues, the most appropriate financial resources..”for its actions. Advisory group for sectoral technology cooperation could advise donors and investors on the most appropriate ways for technological assistance.</p>	<p>ACTIONS A country under group (a) (i) should; 1) set out binding targets for “GHG emissions per unit” or “energy consumption per unit” in major sectors; 2) set out binding targets for economy-wide “GHG emissions per GDP” or “energy consumption per GDP”. A country under groups (a)(ii) and (iii) should submit its voluntary national action plan, including policies and measures for mitigation, to the Conference of the Parties.</p> <p>Sectoral intensity targets for developing countries should be set “on the basis of energy efficiency, carbon intensity and mitigation potential:</p> <p>Major developing countries should set “economy-wide intensity targets in addition to their sectoral intensity targets for major sectors”</p> <p>Developing country Parties should have in place, no later than one year prior to the start of the commitment period, a national system for the estimation of GHGs.</p> <p>Measurement systems in major developing countries should utilize indicators based on the same methodologies used by developed countries</p>	<p>ACTIONS Each country should also provide an estimate of total volume of its emission as reference, based on its economic growth forecast. Establish a national measurement system for its targets, with international assistance.</p> <p>Proposes a table for reporting on “economy-wide GHG emissions or energy-consumption for GDP” and “GHG emissions or energy-consumption per unit in major sectors”</p> <p>Japan and partners in the Asia Pacific Partnership are addressing methodological issues to ensure comparability of actions among countries</p> <p><i>All NAI countries need to submit an national action plan.</i></p> <p>Major developing country Parties should submit annual inventories, including information on sector-based emissions.</p>	<p>(a) (i) Experts should verify these data and information. <i>The Conference of the Parties should periodically review the voluntary national action plan.</i> (a) (ii)<i>The voluntary national action plan should be reviewed periodically.</i></p> <p><i>Flexibility for A1 Parties undergoing the process of transition to a market economy.</i></p> <p><i>National Action Plans reviewed periodically by COP expert review teams, especially those of major developing country parties.</i></p>	

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<p><b>Korea (Republic of)</b> (February 2009) (April 2009) (AWG-LCA intervention, Bonn April 2009) (Workshop presentation of 04/01/09 in Bonn)</p>	<p>Actions taken by country will vary based on countries capabilities and needs. “NAMAs” (sometimes identical to SD PAMs) should be voluntarily registered and “specific and focused actions that have direct linkage with mitigation.” “The Registry should not be compilation of information or repetition of national communications. It should be a list of focused actions to be taken by developing countries. The scope and extent of NAMAs could range from economy-wide mitigation targets to specific policies and measures in certain sectors or areas.”</p> <p>“Developed country parties need to provide developing country parties with a roadmap for low carbon development which includes appropriate policy tools and necessary support to enable them to pursue greenhouse gas emission reduction and economic development at the same time.”</p>	<p>FINANCE MECHANISM Sectoral crediting, cap-and-trade schemes, or carbon credit for NAMAs could be established under the UNFCCC as one of the means of finance and technology transfer for the Bali Action Plan while the CDM under the Kyoto Protocol is primarily a compliance mechanism for Annex 1. Revenue from the sales of the credits will channel financial resources and technologies necessary for the NAMAs of developing countries.</p> <p>“certain portion of the carbon credit is discounted and retired from the global carbon market”</p>		<p>Establish a Registry for NAMAs by developing country parties that could “facilitate MRV of both the NAMAs of developing countries and the support provided by developed countries by keeping track of the actions of both sides”. Agree on operational aspects of registry at COP16. Elements to be registered : (1) support needed (2) expected quantity of mitigation (3) timeframe</p> <p>For unilateral actions, “Periodic national communications could serve as the MRV procedure for those unilateral and voluntary actions if the reporting could be regularly updated to provide enough information on the implementation of the actions. Standardized international guidelines could be established for the reporting.” Unilateral actions also get reported in registry.</p> <p>For supported actions, “MRV procedures agreed upon between developed and developing countries”.</p> <p>For actions receiving carbon crediting, should be similar to CDM methodology.</p>	<p>A. Voluntary NAMAs: 1. Periodic Review : Voluntary based on internationally agreed guidelines NAMAs that require support: 2. MRV applied based on agreed methodology NAMAs for carbon credits (REDD): 3. MRV to ensure comparability and environmental integrity</p> <p>B. Supported actions “could be subject to MRV procedures agreed upon between developed and developing countries. In this case, the MRV could be mandatory and be based on certain criteria for evaluation.” Basic criteria could be agreed by COP 15, with details sorted out later.</p> <p>C. “MRV of those actions that are taken for the purpose of getting carbon credit should be based on criteria and standards for verification similar to that of current CDM methodology in order to maintain environmental integrity”</p> <p>D. MRV of QERCs means legally binding commitments that are absolute, and verified for compliance</p>	<p>Establish a Registry for NAMAs by developing country parties that could “facilitate MRV of both the NAMAs of developing countries and the support provided by developed countries by keeping track of the actions of both sides”.</p>
<p><b>Lebanon</b> (December 2008)</p>		<p>“nuclear power should not receive any support as part of measurable, reportable and verifiable finance”</p>				

## SECTION I. PARTY SUBMISSIONS ON MRV

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COUNTRY	TYPES OF ACTIONS AND OBLIGATIONS	SUPPORT MECHANISM	MEASUREMENT	REPORTING	VERIFICATION	INSTITUTIONS
<b>Madagascar</b> (December 2008)		FINANCE MECHANISM developed countries should dedicate 0.5% of their GDM to climate change in the developing countries; international tax on global monetary transactions or on fossil fuels, or by the use of change reserves				
<b>Malaysia</b> (January 2009)		Developed countries should bear the full cost of financing, technology and CB on a MRV basis, above the incremental costs currently required by the Convention in order to support and enable NAMAs	SUPPORT “Financial contributions made outside of the Convention should not be considered fulfillment by Annex I Parties of their obligations to provide MRV financing”			
<b>Mexico</b> (August 2008)	The mitigation activities to be supported shall be defined by contributing countries, based on their own development needs and in accordance with their national circumstances, and shall be MRV. Activities eligible for receiving support from the Fund could be on a variety of scales, from isolated activities and projects to programs, sub-sectors, entire sectors or sub-national approaches.	FINANCE MECHANISM World Climate Change Fund (Green Fund) Support contributions based on (1) GHG emissions (2) GDP and (3) population	ACTIONS Proposes MRVing national emissions as a way to show real reductions (instead of project level baselines, for example), e.g. adopt baselines derived from periodic emissions inventories with strict methodologies, such as those used for National Communications under the Convention	ACTIONS Reporting ‘Grey’ (SD items) and ‘Green’ (GHG items)	Proposes MRVing national emissions as a way to show real reductions	
<b>Micronesia</b> (April 2009)		Funding could come from GEF, World Bank CIFs or other international financial institutions or through bilateral or multilateral assistance plans				

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COUNTRY	TYPES OF ACTIONS AND OBLIGATIONS	SUPPORT MECHANISM	MEASUREMENT	REPORTING	VERIFICATION	INSTITUTIONS
<p><b>New Zealand</b>            (“Measurable, reportable and verifiable actions.” 30 Sept 2008.)            (April 2009)            (May 2009)</p>	<p>“National planning” to identify cost effective mitigation opportunities</p>	<p>Use objective criteria and mutual accountability (Paris declaration) to guide MRV of actions and support. Based on the assumption that the more accountability on the side of the action, the more money will flow.</p> <p>A useful principle contained in the Paris Declaration is ‘mutual accountability.’ What type of support should be counted? <i>New Zealand notes that effective financing requires action at multiple levels, including redirecting private and public investment, the financial mechanism of the Convention, Official Development Assistance, national policies and proposed new financing options and mechanisms.</i> UNFCCC should approach funding along the lines of (i) assessing; (ii) collecting; and (iii) delivery.</p> <p>FINANCE MECHANISM            Don’t create new funds. Do support REDD as an MRV linked to the carbon market.            Contributions beyond Annex II countries. Eligibility assessed periodically according to agreed criteria (such as GDP per capita)</p> <p>Establish a “NAMA trading mechanism”</p>	<p>ACTIONS</p> <p>Greenhouse gas inventory reporting and review requirements for major economies</p> <p>Proposed template for reporting of NAMAs (not in context of registry) which includes the following information:</p> <ul style="list-style-type: none"> <li>- national circumstances (GDP/capita, mitigation potential)</li> <li>- Date of latest reported National GHG inventory + date of inventory review</li> <li>- Sectors in which a country might have NAMAs</li> <li>- Estimated GHG reduction</li> <li>- NAMA itself</li> <li>- Action type: quantified target, price based measure, regulation, other PAM</li> <li>- Agreed full incremental cost estimate</li> </ul>	<p>Method = national communications. Developed countries should report more frequently on the provision of financial resources and on the transfer of technology.</p> <ul style="list-style-type: none"> <li>- All countries should measure and report mitigation and adaptation actions in a prompt and verifiable manner.</li> <li>- New reporting requirements need not be the same for all countries. At a minimum, economies accounting for the bulk of global greenhouse gas emissions must regularly report national greenhouse gas inventories (with support to compile inventories if needed)</li> <li>-Greenhouse gas inventory reporting and review requirements for major developing economies must mirror Annex I requirements.</li> </ul> <p>Considering “national schedules”</p>	<p>Support the role of third party verification, e.g. expert review</p> <p><i>Annual GHG inventories where support is required from other parties or is to be accessed through carbon market</i></p>	

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COUNTRY	TYPES OF ACTIONS AND OBLIGATIONS	SUPPORT MECHANISM	MEASUREMENT	REPORTING	VERIFICATION	INSTITUTIONS
<p><b>Norway</b> (February 2009) (April 2009) (May 2009)</p>	<p>NAMAs should be integrated into a national mitigation strategy, in the form of a national low emission development strategy.</p> <p>And to be eligible for support, developing countries need to develop National Appropriate Mitigation Actions Plans. These plans aim to get developing countries to have “a holistic approach in implementing measures”</p> <p>National strategies should include, as a priority, the establishment and development of the necessary institutional framework for systematic national inventories for emissions and removals</p>	<p>Support for development of inventories to be provided by developed countries, including CB, financial and technical support. Support either under the Convention and the Protocol or in countries themselves.</p> <p>“It should be looked into how these countries (all Parties) could be prepared for the participation in such new [emissions trading] mechanisms, by inter alia introducing capacity building programs to facilitate the measurement, reporting and verifying of emissions in specific sectors”.</p> <p>Mechanisms to match actions with support should: ensure environmental integrity of NAMAs and aim at achieving cost efficient emissions reductions.</p> <p>The type of support needs to be differentiated according to the type of action.</p> <p>Incentivize establishment of carbon tax or cap and trade systems in developing countries by giving those countries a portion of the allowances set aside by the mechanism proposed earlier by Norway.</p> <p>Base amount of allowances auctioned on needs identified in “strategies for national low emission developments” and “strategies for national adaptation actions”. Decide on quantity of allowances auctioned before they are issued to parties. Total amount of allowances issued to be determined in Copenhagen.</p>	<p><b>ACTIONS</b> Developing economies must mirror Annex I requirements.</p> <p><b>SUPPORT</b> “a provision of new and additional financial resources should be generated independent of national budgetary processes”</p>	<p>All Parties should prepare inventories; they should be “annual, national, sector-wide GHG inventories.” If unable, suitable timeline should be established. Most advanced developing countries should begin after COP15. Inventories should be based on IPCC guidelines, begin with “default emission factor values”, and “tiered-approach”. Also support registry as good database for developing country mitigation actions, linked to financial support. [Note: support linked to “outcomes and results”]</p> <p>National Mitigation Action Plans could be submitted through a registry, established as proposed by some Parties in the negotiations.</p>	<p>Rules and procedures for international, reliable, global emission data and verification. Propose “international expert review” of inventories. Build on existing review procedures. [Note: only propose compliance mechanism for Annex I countries]</p> <p>All Parties should prepare inventories; they should be “annual, national, sector-wide GHG inventories.”</p>	<p>Mechanisms to match actions with support should: ensure environmental integrity of NAMAs and aim at achieving cost efficient emissions reductions.</p>

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COUNTRY	TYPES OF ACTIONS AND OBLIGATIONS	SUPPORT MECHANISM	MEASUREMENT	REPORTING	VERIFICATION	INSTITUTIONS
<b>Philippines on Behalf of the Group of 77 and China</b> (December 2008)	“Based on the Convention and the BAP, the G77 and China expresses its firm rejection of any proposal directed towards differentiating between non-Annex 1 parties, such as amendments to the Convention or any of its Annexes with a view to establishing new categories of countries”		<p>“The AWG-LCA must effectively address the issue of comparability of commitments among Annex I parties. A global effort demands that all Annex I parties take on measurable, reportable and verifiable commitments, including in the form of QELROs, that are compatible with their level of historical responsibility for climate change and economic and technological capacity.”</p> <p>“All Annex I Parties, given their historic responsibility, and as shown by the latest scientific evidence, are obliged to reduce their emissions deeply, primarily domestically, as mid term absolute reduction commitments that are measurable, reportable and verifiable”.</p>			
<b>Qatar</b> (February 2009) (April 2009)	NAMA from developing countries, QELRO from A1.  Differentiation of actions based on historic responsibility, special national circumstances, social and human development and degree of resilience.				SUPPORT A1 country support must be MRVed.	International registry of NAMAs under the UNFCCC, linked to support.
<b>Russia</b> (September 2008)	Supports recognition of voluntary actions by developing countries					
<b>Saudi Arabia</b> (December 2008) (Workshop presentation of 04/01/09 in Bonn)		Support and Accreditation Mechanism (SAM) evaluates actions proposed and support provided and matches one with the other. Would also play a role overseeing the generation of carbon credits of certain actions. This SAM body would be under the COP.		AI “Reporting for mitigation shall also include reporting on the cost and impact assessment of the mitigation actions, policies and measures, particularly on developing countries. Efforts to meet the commitment to avoid or minimize the adverse impact of the actions, policies and measures shall also be reported.”	A1 The verification process of the mitigation must also include verification of the impacts assessment and efforts to reduce the adverse impacts of actions, policies and measures on developing countries.	

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<b>Singapore</b> (October 2008) (April 2009)	<p>Believe countries should be permitted to make voluntary but binding commitments that reflect their own abilities and circumstances.</p> <p>Take account of “alternative energy-disadvantaged” countries, whose dependence on fossil fuels and inability to switch over to alternative energy sources are recognised in the UNFCCC.</p>			<p>Unilateral NAMAs reported in registry and national communications.</p> <p>“To recognize all efforts by developing countries to mitigate climate change, the registry should also include a listing of projects under the CDM, and other crediting programmes which could be set up in the future.”</p>	<p>Verification for unilateral NAMAs would be done nationally and conducted according to internationally agreed standards.</p> <p>Supported actions would undergo international verification along with the finance and technology support provided by developed countries</p>	<p>Unilateral NAMAs reported in registry and national communications.</p>

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<p><b>South Africa</b>            (December 2008)            (April 2009)            (Workshop presentation of 04/01/09 in Bonn)</p>	<p>Variety of forms of actions possible: SD PAMS, REDD, programmatic CDM, no lose sectoral crediting baselines</p>	<p>Level of mitigation effort commensurate with level of support received. Actions must be supported and enabled by ‘means of implementation’. Finance shall not be not limited to the carbon market, but also used for technology transfer and assistance. All sources of finance should be mobilised by the UNFCCC through at least 4 types of funds: (1) public funding (e.g. grant finance, subsidies); (2) market-linked sources of funding (e.g. revenues from auctioning of allowances); (3) carbon market (e.g. CDM, ETS, no-lose sectoral crediting baselines); (4) market finance (e.g. loans on preferential terms, revolving credit, venture capital); and others. “each developed country Party shall report the direct financial transfers and indirect contributions through quantifiable technology and capacity-building support made in its national communication every x year(s).”</p> <p>There should be facilitative mechanisms for both mitigation and adaptation.</p>	<p><b>ACTIONS</b>  <b>Pledging developing country Parties would agree to measure and report both the sustainable development benefits and climate co-benefits of the mitigation actions.</b>            The level of mitigation effort must be commensurate with the level of support. A1 “The unit of measurement of comparability is tons of CO2-eq. This would be the case even if some commitments are made under the Protocol and another developed country Party’s commitments are under the Convention.” for non-AI            What we measure is whether the action takes place. For all countries - through national communications. An option for non-A 1 = “in a register of SD-PAMs / NAMAs that could be established and should remain open up to 2020 or 2025 for registration of voluntary pledges of NAMAs by developing countries</p> <p><b>SUPPORT</b>            “Options to consider might include 0.5% of GDP of Annex II Parties as a group or \$200 billion annually, to be reached by 2020 or 2030”</p>	<p><b>ACTIONS</b>            “Reporting options for NAMAs by developing countries (only) could be done:            * through national communications            * in a register of SD-PAMs/NAMAs that could be established and should remain open up to 2020 or 2025 for registration of voluntary pledges of NAMAs by developing countries”</p> <p>Register should include, but not be limited to: (1) actions developing countries want to submit (2) identified support required (3) avoided emissions (4) assumptions underpinning the proposed action</p> <p>Possible to register individual or groups of actions and programs</p> <p><b>SUPPORT</b>            “each developed country Party shall report the direct financial transfers and indirect contributions through quantifiable technology and capacity-building support made in its national communication every x (sic) year(s)”</p>	<p><b>ACTIONS</b>            – by national entities to international guidelines for unilateral/own resources            – for supported action, verification under Convention</p> <p><b>SUPPORT</b>            – To demonstrate MRV, developed countries must report financing and technology transfer in national communications            – Count investment as part of MRV finance ...            – ... but not credit towards QERCs</p> <p>On an annual basis, the register shall be updated to reflect the status of implementation of action and its support. Following the first MRV report, the NAMA shall be considered registered (and no longer indicative).</p>	<p>Proposal that developing countries establish a “National Coordination Body” to be the “focal point to support the implementation of climate change projects and programmes that have received TFCB support. Functions:            (1) provide support and facilitate coordination in the registration process of NAMAs (2) support and facilitate coordination of national adaptation measures which qualify for international support (3) Ensure national ownership of and commitment to NAMAs to be registered internationally (4) Ensure proper assessment of the financial, technological and capacity needs of such NAMAs (5) Mobilise, coordinate and involve with existing in-country mechanisms (6) Facilitate development and establishment of national expertise (7) Coordinate climate change funding, technology transfer, and capacity building requirements, including (8) identifying and prioritising needs and guiding the preparation of proposals (9) Harness synergies across thematic activities and facilitate exchange of experience and good practice (10) Identify stakeholders for direct access for financial assistance.</p>

**SECTION I. PARTY SUBMISSIONS ON MRV**

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COUNTRY	TYPES OF ACTIONS AND OBLIGATIONS	SUPPORT MECHANISM	MEASUREMENT	REPORTING	VERIFICATION	INSTITUTIONS
<p><b>South Africa</b> (continued) (December 2008) (April 2009) (Workshop presentation of 04/01/09 in Bonn)</p>			<p><b>ACTIONS:</b> Emissions reductions measured by developing country according to multilaterally agreed guidelines and methodologies</p> <p><b>SUPPORT:</b> - Indicate allocation and transfer of finance above ODA - Measure tech transfer, including development, application and diffusion, in units established according to indicators being developed under SBI and SBSTA - Measure the support for CB according to indicators established in the review of the capacity building framework</p>	<p>“Developing countries should submit GHG inventories every two years”</p> <p>Unilateral NAMAs reported in National Communications (and can also be registered for recognition purposes only on a voluntary basis). Supported NAMAs reported through the register</p> <p>Reporting on the status of implementation to the registry shall be annual with an update based on measured outcomes every two years, alternating with reporting on GHG inventories</p> <p><b>SUPPORT:</b> Reported in national communications of Annex I countries and updated in the register every year</p>		<p>The assumptions and methodology underpinning the proposed action and the required support for the indicative mitigation actions will be assessed by a Technical Panel established under the Convention.</p> <p>* Once the Technical Panel reports that the action and support have been established using good practice, a request to the Financial and Technology Mechanism(s) of the Convention is triggered.</p> <p>* The Financial and Technology Mechanisms shall be responsible for matching support to actions.</p> <p>* The developing country concerned will implement the proposed action. Implementation shall be enhanced through support for building the institutional capacity in developing countries, specifically through the proposed national coordination mechanism</p>

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Switzerland (November 2008)	“The economic activities [covered under sectoral approaches] (and underlying technical processes) covered are comparable within and among countries”	<p><b>FINANCE MECHANISM</b>                      A global burden sharing system, based on the CBDR principle and legally binding to all nations. Under this proposal, the revenue is to be raised in the following way: the polluter pays principle through a uniform global levy on carbon of 2 USD/t CO2 on all fossil fuel emissions. This leads to a burden of about 0.5 US cents/litre of liquid fuel. The funding scheme proposes a basic tax exemption of 1.5tCO2-eq per inhabitant, to take into account the principle of common but differentiated responsibilities. This free emission allowance relieves the low-emission countries, while countries with higher-emission levels make a higher contribution to the fund. A share of revenues differentiated according to groups of countries formed on the basis of the per capita GDP shall flow into a global Multilateral Adaptation Fund (MAF) and the NCCF.</p> <p>Based on per capita GDP. Industrialized countries would make 76% of the contribution to the fund.</p>				
Switzerland on behalf of the Environmental Integrity Group (Republic of Korea, Lichtenstein, Mexico, Monaco and Switzerland)			“MRV should neither be of “judicial” nature nor a “compliance” process entailing any sanction for Parties”.	<p><b>ACTIONS</b>                      “Open an international voluntary registry in the UNFCCC secretariat in order to allow developing country Parties to record and update at any time information on national and international appropriate mitigation actions that they undertake. The registry shall be open to all NAI Parties.”</p>		

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<b>Tuvalu</b> (June 2009)	<p>Developed countries should, and other countries can voluntarily elect to undertake QELRCs. Other developing countries will undertake NAMAs. Developing countries may elect to adopt NAMAs under the following tiers:</p> <p>(1) Tier One: actions financed domestically, either nationally or sub-nationally;</p> <p>(2) Tier Two: actions that are financed by international financial and/or technical support’</p> <p>(3) Tier Three: actions undertaken over and above the Tiers 1 and 2 which may be eligible for trading of units.</p> <p>All countries shall develop national adaptation plans.</p>		MRV of QELRCs taken by developed countries (and voluntarily by developing countries), of Tier 3 NAMAs, and of Tier 2 REDD-related NAMAs.	NAMAs financed by international support shall be subject to reporting and accounting standards determined by the Multilateral Fund on Climate Change (MFCC)		<p>An International Register of commitments maintained by the Secretariat--developing countries must nominate to have their NAMAs included.</p> <p>Establishment of REDD centres to help developing countries build their MRV capacity of REDD-related NAMAs.</p> <p>An Expert Committee on Adaptation shall monitor compliance with commitments and pledges made by developed country Parties, and other Parties who voluntarily elect to do so, to provide financial support to particularly vulnerable developing countries”</p>
<b>Turkey</b> (“regarding para 1 of the BAP” 8 Sept 2008)		<p>FINANCE MECHANISM</p> <p>A technology transfer fund</p>	“All nations have to define their own respective capabilities for contributing to the global effort”			
<b>Ukraine</b> (August 2008)	Fulfillment of the commitments by the Parties to be performed through “greening” of carbon units. Greening is achieved through the implementation of projects on emission reduction or enhancement of greenhouse gas absorption.	The International Climate Fund – a special agency, designated to regulate carbon-credit relations between the Parties and to provide credits in carbon units in case of a temporary carbon budget deficit of the Parties.				

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<p><b>USA</b> (Sept 2008) (April 2009)</p>	<p>Believe all countries should put forward nationally appropriate mitigation actions in a manner that is measurable, reportable, and internationally verifiable. Although the content will be different, the legal character needs to be the same. “at least some developing countries (such as major emitters and emerging economies) should be taking the same kinds of mitigation actions as developed countries.”</p> <p>“Parties shall formulate and submit low-carbon strategies that articulate an emissions pathway to 2050”</p> <p>Three categories of countries: 1. developed country parties 2. developing country parties whose national circumstances reflect greater responsibility or capability 3. other developing countries</p>	<p>Donor countries will have an ongoing need to ensure that resources continue to go to the highest priority actions, and that there is effective performance for investments. “Has both developed and developing country aspects”, “allocate financial support strategically by linking it to nationally appropriate mitigation actions that are MRV’s internationally”, national capabilities determine what is nationally appropriate, and “should inform the level and type of international support”</p> <p>Agreement will include a provision reaffirming Annex II Parties’ obligations.</p> <p>Private sector expected to be a larger source of funding than the public sector.</p> <p>Still need to determine whether a new funding mechanism should be created.</p> <p>Steps needed to “mobilize domestic and international financing from a variety of domestic, bilateral, regional, and multilateral sources, including carbon markets”</p>	<p><b>ACTIONS</b> Revenues only go to highest priority actions and only those that would boost national regulatory structures, including SDPAMs</p> <p>All NAMAs must be MRV’d to be “recognized” and should be linked to financial support</p> <p><b>SUPPORT</b> “suggest exploring how, in the context of enabling NAMAs, MRV support has both developed and developing country aspects”</p>	<p><b>ACTIONS</b> Want to revise the MRV articles of the Convention to provide for more frequent reporting in general. More specifically, want to provide for more information on NAMAs. “developing countries should develop and maintain capability to report emissions inventories and report them on a regular basis”</p> <p>“Parties shall formulate and submit low-carbon strategies that articulate an emissions pathway to 2050”</p> <p>All developing countries (except LDCs) shall provide national inventories on an annual basis.</p> <p>MRV provisions vary depending on whether the action is externally supported. There is a placeholder for MRV of “mitigation actions generally” which suggests that all action get MRV to a certain extent.</p> <p>All Parties’ “respective NAMAs” are reflected in an appendix</p>	<p>“Verification be the same among all parties”</p> <p>MRV provisions vary depending on whether the action is externally supported. There is a placeholder for MRV of “mitigation actions generally” which suggests that all action get MRV to a certain extent.</p> <p>All Parties’ “respective NAMAs” are reflected in an appendix</p>	
<p><b>Zambia</b> (February 2009)</p>			<p><b>SUPPORT</b> Actions should be proportional to support, contributions from developed countries should be 1% of GNP in addition to the ODA -Multilateral and bilateral contributions can be counted towards support if in conformity with principles and objectives of the Convention</p>			

## SECTION II. PARTY SUBMISSIONS ON SHARED VISION

COUNTRY	NATURE OF SHARED VISION	GLOBAL BURDEN SHARING (DIFFERENTIATION)	GHG TARGETS OR RANGES (NATIONAL OR GLOBAL)
<b>AOSIS</b> (December 2008)		<b>MITIGATION</b> Polluter-pays, CBDR, precautionary principle, principle of state responsibility, principle of intergenerational equity, cooperative action on mitigation includes major emitting developing countries making significant contribution	CO2 emissions must peak by 2015, CO2 emissions reduced by more than 85% by 2050, long-term target to be reviewed in 2015
<b>Algeria, Benin, Brazil, Burkina Faso, Cameroon, Cape Verde, China, Congo, Democratic Republic of the Congo, et. al.</b> (June 2009)		Apply the principle of historical responsibility to the KP when determining the QERCs of Annex I Parties inscribed in Annex B.	Annex I Parties shall reduce emissions by at least 40% below 1990 levels in 2020.
<b>Algeria on behalf of African Group</b> (April 2009)	Address the full, effective and sustained implementation of the Convention through long-term cooperative action, now, up to and beyond 2012.  Includes all building blocks of Bali Action Plan.  Address gender equity and reflect the special needs of the youth		Includes a long term goal for global GHG emissions reductions of least halving global emissions relative to historical levels by mid-century, underpinned by ambitious mid-term targets, based on sound science.
<b>Algeria</b> (December 2009) (April 2009)	Should be "equity-oriented"	<b>MITIGATION</b> [implies] past emissions, historical responsibility of developed countries, "environmental debt"  Links level of support provided by developed countries not only with the level of action that developing countries will take but with the ultimate mitigation share of developed countries. Logical argument: the lower the amount of support, the lower the deviation from BAU from developing countries, and the higher the burden on developed countries to reach the global mitigation goal.  <b>SUPPORT</b> "Past excess emissions of developed countries would be considered an additional basis for the provision by developed countries of financial, technological and capacity-building support for adaptation."	Does not support proposals using the "numbers given by IPCC as examples" and suggests those numbers "presents a numbers of serious methodological flaws". Instead believes that "defining, along with the global emissions profile, an extrapolation of current developing countries emissions, ensuring the same economic growth and social benefits as a business as usual path, but taking advantage of win-win emissions reductions opportunities. This amount of environmental space would be apportioned to developing countries, and the balance to developed countries, in case financial and tech transfers remain insignificant."

## SECTION II. PARTY SUBMISSIONS ON SHARED VISION

COUNTRY	NATURE OF SHARED VISION	GLOBAL BURDEN SHARING (DIFFERENTIATION)	GHG TARGETS OR RANGES (NATIONAL OR GLOBAL)
<b>Argentina</b> (February 2009) (April 2009)	Should focus on “defining the long-term goals that are necessary to fully implement the Convention and achieve its ultimate objective” long-term goal should inform actions and support. A shared vision and any global goal must address impacts on development prospects of developing countries, and such a vision necessarily includes technology development and transfer, financial support, and other associated support from developed countries	MITIGATION Historic responsibility, respective capabilities, economic and social development, mitigation potential  SUPPORT Provision of financial support by developed countries based on CBDR, historical responsibility	Parties should protect the climate system - guided by equitable determination of long-term objectives drawn from the recommendations of the IPCC.  Below 2 degrees C.  Long term goals should be used to define the level of GHG emission reductions in developed countries.  At least 45% by 2020 and at least 95% by 2050 compared to 1990 for developed countries
<b>Australia</b> (November 2008) (May 2009) (June 2009)		CBDR-RC.  Parties “whose national circumstances reflect greater responsibility or capability” should make greater contribution to the global effort.  “all Parties should aim to undertake a similar level of effort to others at a similar level of development and with similar national circumstances”	Stabilization of concentrations at 450ppm or lower 2 degree limit on temperature rise Global peak year no later than 2020.  “advanced economy reductions” , in aggregate of at least 25% below 1990 levels by 2020. Collective reduction of 20% below BAU by 2020 and nomination of peaking year for “ individual major developing economies”.
<b>Bolivia</b> (December 2008) (September 2009)	“Already embodied in the Convention and the KP”  Include a Universal Declaration of Mother Earth’s Rights.	MITIGATION Based on CBDR principles	To be quantified in terms of “the changes in the structural economic system, consumption patterns in developed countries, volumes of technologies to be transferred free” .. And “compensation to be paid to developing countries”
<b>Brazil</b> (February 2009) (April 2009)	Against the concept of a graduation for countries from one category to another.  Should include: level of financial and tech support for mitigation and adaptation; an aspirational long-term global goal	MITIGATION CBDR, historical responsibility, equity, legitimate priority of achieving sustained economic growth and eradicating poverty.  SUPPORT Supporting the G77 and China proposal - contributions from developed countries at a level of 0.5-1% of GNP	Global goal based on science and updated periodically.  Initial global goal of 2 degrees broken down into partial targets: initially 0.2 temperature increase per decade over ten decades, every ten years, the partial target would be evaluated.
<b>Canada</b> (December 2008)			50% by 2050 for all Parties, peak by 2020

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<b>China</b> (December 2008) (April 2009)	<p>“An exchange of views” to “implement the long-term cooperative action”</p> <p>Ultimate objective of convention is composed of three aspects: stabilize GHG concentrations, adapt to the impacts of climate change, ensure sustainable development.</p> <p>Comprehensive shared vision includes mitigation, adaptation, finance, technology as well as sustainable development.</p> <p>Should be guided by CBDR and equity</p>	<p>MITIGATION Based on CBDR principles, per capita accumulative emissions</p> <p>SUPPORT Developed country contributions by percentage of annual GDP, e.g. 0.5-1%, in addition to existing ODA.</p>	<p>Firstly set the mid-term emission reduction target for developed country Parties; any long-term global goals shall be based on “sound science”. “Developed countries should reduce their GHG emissions by at least 40% by 2020 compared to their 1990 levels” and should “converge” accumulative emissions per capita</p> <p>Discussion of long term goal “should focus on how to ensure and enable the implementation of mitigation and adaptation actions.”</p>
<b>Colombia</b> (June 2009)			Annex I Parties shall reduce their overall emissions of GHGs “by at least 45 per cent in the commitment period 2013-2020 and at least 57 per cent by 2028.”
<b>Costa Rica and Panama</b> (April 2009)	<p>In accordance with CBDR and precautionary principle.</p> <p>Importance of early action.</p>	<p>MITIGATION On the basis of equity and in accordance with CBDR and social and economic conditions. Leadership of developed countries given their historical responsibility.</p>	<p>Economy-wide domestic reductions by industrialized countries of at least 45% below 1990 levels by 2020 at at least 95% by 2050.</p> <p>Stabilization at 350ppm.</p> <p>Developing country NAMAs should result in “substantial deviation from baseline by 2020”.</p>
<b>Cuba</b> (February 2009)	“Must aim at reaching the ultimate goal of the Convention”	<p>MITIGATION 2 criteria: 1) historical emissions; 2) emissions per capita</p> <p>SUPPORT Historical contribution to climate change, GHG emissions per capita, national capabilities</p>	Annex I countries ... 40% by 2020 and more than 80% by 2050 compared to 1990 levels. Targets should be informed by the “prevention principle in an effort to minimize and anticipate the adverse impact of climate change” and “principle of intergenerational equity”
<b>Ecuador</b> (February 2009)			25-40% reduction compared to 1990 for developed countries

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<p><b>EU</b> (April 2009; by the Czech Republic) (Communication of the European Commission of Feb. 2009)</p>	<p>Include all building blocks</p>	<p><b>MITIGATION</b> Among developed countries: - the capability to pay for domestic emission reductions and to purchase emission reduction credits from developing countries; - the GHG emission reduction potential; - domestic early action to reduce GHG emissions; - population trends and total GHG emissions.</p> <p>Targets based on: 1) GDP per capita, 2) GHG per GDP, 3) trend in GHG since 1990, 4) population trend</p> <p><b>SUPPORT</b> Public financial contributions to be comparable and “based on the polluter-pays principles and each country’s economic capability”</p>	<p>Include long term global goal and a global mid-term pathway in terms of the timeframe for peaking of global emissions</p> <p>Developed countries should commit to collectively reducing their emissions of GHGs in the order of 30% by 2020 compared to 1990 levels.</p> <p>Deviation will need to be of the order of 15 to 30% below business as usual by 2020 for developing countries as a group,</p> <p>For all, 50% below 1990 by 2050 Reduce current levels by 50% by 2020 Need to reassess global goal in 2016</p> <p>For developed countries...30% below 1990 levels in 2020 (with international agreement), 20% below 1990 levels in 2020 [without international agreement] For developing countries...15-30% below BAU For all, 50% below 1990 by 2050 Reduce current levels by 50% by 2020 Need to reassess global goal in 2016</p>
<p><b>France</b> (December 2008)</p>	<p>“to guide our concrete and medium term targets” for mitigation and adaptation. Its an “over arching element”</p>	<p><b>MITIGATION</b> CBDR based on “respective capabilities”. All parties take on “LCDP”</p>	<p>“global temperature increase limited or not more than 2% above pre-industrial levels”. 30% by 2020 compared to 1990 for developed, 15-30% below business as usual, for developing countries.</p>
<p><b>Guyana</b> (April 2009)</p>	<p>Long term goal based on CBDR, best available scientific information, minimization of further climate change impacts on vulnerable developing countries.</p> <p>NAMAs can include low carbon development paths or strategies</p>	<p>Industrialized countries take the lead and help vulnerable countries establish a low carbon development path</p>	<p>Stabilization of concentrations at 350ppm. Limiting temperature increase to 1.5 C. Global reductions of CO<sub>2</sub> of at least 85% by 2050 Global peak by 2015 Reduction by A1 parties at least 45% of 1990 by 2020 and 85% by 2050</p>
<p><b>Iceland</b> (December 2008) (April 2009)</p>	<p>“How to forge a path towards a low-carbon society, where developed countries reduce GHG emission and assist developing countries forging a cleaner path towards development” The goal will be both aspirational and quantitative</p> <p>Should include “gender perspectives”</p>	<p>“Fairness in sharing burdens and allocating assistance on [the pathway towards a low-carbon society]</p> <p><b>MITIGATION</b> Yearly GHG emissions, emissions per GDP, emissions per capita, special national circumstances (including population trends and emissions per energy unit), domestic mitigation costs and potential.</p>	<p>“A central element...is a clearly defined long-term global goal.” IPCC data “gives enough comfort to translate...to a quantitative goal.” Also states global temperature should stay with 2 degree of pre-industrial levels.</p> <p>Global emissions need to be reduced by at least 50% by 2050 with a peak in emissions no later than 2020.</p>

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<b>India</b> (December 2008) (April 2009) (August 2009)		<p>MITIGATION CBDR and respective capabilities; convergence of per-capita emissions</p> <p>SUPPORT Burden sharing laid out in the Convention Art 4.3-4.9 Different for “full incremental lifetime costs” and “base costs” - base costs can be covered by domestic as well as foreign.</p> <p>Contributions by Annex II parties of 1% [“at least 0.5% “ referenced in another section of the submission] GDP to the financial mechanism</p>	<p>Identify an indicative stabilization target and a time-frame for its achievement along with an equitable paradigm for sharing the carbon space; Long-term stabilization target linked to a medium term target for emission reduction by Annex I Parties, should be no tampering with the baseline year used in the Convention and the IPCC reports. Annex I countries should adopt specific policies and measures that promote sustainable patterns of consumption and production, include life-style changes</p> <p>At least 40% reduction below 1990 by 2020 by Annex I countries.</p>
<b>Indonesia</b> (April 2009)	Based on CBDR-RC, equity, social and economic conditions, specific needs and special circumstances of developing countries, precautionary approach, the right for sustainable development and economic growth	Long term goal will inform the lead that developed countries will take in implementing NAMACs (Nationally Appropriate Mitigation Actions or Commitments), including QEROs.	Stabilization at 450ppm by 2020 should inform the establishment of the long-term goal.
<b>Japan</b> (December 2008)	“this long-term goal should be considered as a non-binding and aspirational share “visions” that will show a pathway toward the ultimate solution to climate change” and “under an enlightened sense of international solidarity to take mitigation measures”	<p>MITIGATION CBDR and respective capabilities</p> <p>For Annex 1 QEROs: based on mitigation potential and costs. Due consideration should be given to differences of emitting sectors among developed countries. Japan lists a series of appropriate and inappropriate indicators for comparability for the residential, road transport and power generation sectors.</p>	<p>Proposes that Parties adopt a vision of the goal of achieving at least 50% reduction of global emissions by 2050; Global GHG emissions and natural sinks should be balanced; Global GHG emissions must peak in the next 10 to 20 years</p> <p>(Japanese Prime Minister Yukio Hatoyama has proposed a 25% reduction target by 2020 compared to 1990, but this target has not yet been proposed in an official Japanese submission to the UNFCCC)</p>
<b>Lebanon</b> (February 2009)		<p>MITIGATION Based on CBDR principles</p>	Limit warming to 2 degrees celcius, other goals based on IPCC AR4
<b>Lesotho for LDCs</b> (April 2009)			<p>Annex I Parties must reduce their emissions by at least 45% below 1990 by 2020 and 85% below the 1990 by 2050.</p> <p>All A1 countries should use 1990 as a baseline</p>
<b>Madagascar</b> (December 2008)			<p>World emissions reduced by at least 50% by 2050 compared to 1990.</p> <p>Developed countries should reduce emissions by 25-40% by 2020 compared to 1990 and 75-80% by 2050 compared to 1990.</p> <p>Collective reduction from developing countries of 15-30% compared to BAU baseline by 2020. In the longer term, NA1 “will have to reduce by 25% their global emission compared to 2000 (absolute reduction)”</p>
<b>Malaysia</b> (January 2009)	Should focus on “how to enable the full, effective and sustained implementation of the Convention through addressing [mitigation, adaptation, technology and finance]. It is not to renegotiate the Convention or the Kyoto Protocol.”	<p>MITIGATION Based on CBDR principles</p>	For developing countries... against any “implicit target” for emissions reductions

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<b>Maldives</b> (April 2009)	<p>Reflects equally all elements of BAP in order to make possible the effective implementation of the Convention.</p> <p>Action on climate change is a human rights obligation, as outlined by Human Rights Council resolutions 7/23 and 10/4</p> <p>Must be urgent, practical, ambitious, designed to help the most vulnerable countries</p>	CBDR-RC, polluter pays, state responsibility, inter-generational equity and precautionary principles determine obligations of various parties	<p>Temperature should not exceed 1.5 degrees Celsius above pre-industrial levels.</p> <p>Global atmospheric concentrations should peak by 2015 and stabilize at 350ppm</p>
<b>Micronesia</b> (December 2008)		<p>MITIGATION</p> <p>historical responsibility, current emissions, initial allocation of rights</p>	<p>More than 40% by 2020 compared to 1990 and more than 95% by 2050, beyond 100% over the long term</p> <p>Call for “much higher levels of ambition by Annex 1 Parties to the Convention that reflected in any of the ranges for emissions so far proposed” because of concerns that the IPCC reports are outdated and do not consider recent data</p>
<b>New Zealand</b> (December 2008) (April 2009)		<p>ACTIONS &amp; SUPPORT:</p> <p>COP should periodically review and amend the list of Annex I and Annex II countries based on national circumstances (including for example GHG per capita)</p>	Global emissions are following an agreed quantified pathway (consisting of quantified near and mid-term milestones based on IPCC data) that will lead to achieving the agreed quantified long-term goal to stabilize GHG emissions
<b>Norway</b> (December 2008) (May 2009)	<p>Target should be established early in the process before the discussion on distribution of efforts between countries and sectors take place.</p> <p>“establishing a long-term goal should be a starting point for a top down approach in distribution of commitments on reduction of GHG emissions among parties”</p>	<p>MITIGATION</p> <p>Developed countries as a group must meet specific global emission reduction target; efforts by developing countries should be supported and enabled by technology and substantial financial support and capacity-building from developed countries in a reliable and predictable manner, and in accordance with the national circumstances and capability of the receiving countries</p> <p>SUPPORT</p> <ol style="list-style-type: none"> <li>Necessary incentives for turning global economy into a low carbon economy;</li> <li>Necessary measures for the expansion of the carbon market; seeking to establish a global price on all greenhouse gas emissions</li> </ol>	<p>Should include both midterm and long-term emission reduction targets based on the IPCC data that should be transformed into legally binding obligations for the Parties; the increase in global mean temperature should not exceed 2 degrees; developed countries as a group must reduce their emissions by 25-40 percent below 1990 levels by 2020</p> <p>Global reduction of 50-80% from 2000 to 2050 most likely as much as 85%</p> <p>“In addition to ambitious reductions by Annex 1-Parties, emissions in developing countries have to substantially deviate from project baseline emissions within the next decades to achieve a two degree goal”</p>
<b>Pakistan</b> (December 2008)	<p>A shared vision already exists in the shape of the Rio Principles, the United Nations Framework Convention on Climate Change (UNFCCC) and its Kyoto Protocol. We need a shared vision to overcome the implementation deficit.</p> <p>Not necessarily a long term GHG goal but instead “Measurable R. V. mid term and long term targets on scaling up financial resources and technology deployment and transfer”</p>	<p>MITIGATION</p> <p>“1) emerging scientific information 2) equity and historical responsibility 3) embedded emissions (e.g. in infrastructure) 4) national capabilities and factor endowments”</p>	“Annex I countries must reduce their emissions by more than 40% of their 1990 emissions levels by 2020 and by more than 95% of their 1990 emission levels by 2050 through a second and subsequent commitment periods under the Kyoto Protocol in accordance with Article 3.9 of the Kyoto Protocol”. For developing countries, “enhanced voluntary actions”

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<b>Panama on behalf of Colombia and Costa Rica</b> (February 2009)			
<b>Philippines on behalf of the G77 and China</b> (December 2008)	“In accordance with the Convention, the Shared Vision must promote the right to development and integrate the legitimate priority of sustainable development and poverty eradication in non-Annex I countries” and is “composed of the four building blocks of the Bali Action Plan”	MITIGATION Should be guided by principles of CBDR&RC, equity, precaution, and prevention	
<b>Philippines</b> (April 2009) (June 2009)		MITIGATION Economic and social development and poverty eradication are the overriding priorities of developing countries in implementing the balance of obligations under the Convention.  SUPPORT Annex I countries provide support	Importance of early cuts from developed countries. At least 70% from 1990 by 2017 and 50% by 2022.  Annex I Parties shall reduce GHGs by at least 30% below 1990 levels in the commitment period 2013 to 2017, by at least 50% below 1990 levels in the commitment period 2018-2022, and by at least 95% below 1990 levels by 2050.
<b>Saudi Arabia</b> (February 2009) (April 2009)	based on the 4 BAP building blocks	MITIGATION based on the principle of CBRD  SUPPORT For developing countries, mitigation actions are contingent upon providing the financial support for technology transfer	no “binding global goal”
<b>Singapore</b> (July 2008) (October 2008) (April 2009)		MITIGATION Should follow CBDR principle; Mitigation actions must be equitable and take national circumstances into account, as defined in Articles 4.8 and 4.9 of the Framework Convention, as well as consideration of states that face difficulty switching to alternative sources (Article 4.10), especially small states; enhanced action for the small island developing states (SIDS) require urgent and immediate assistance for implementing adaptation measures. Need to take account of early action.  SUPPORT Developed countries should provide developing countries with adequate, predictable and sustainable financial and technical support and technology transfer where appropriate	Developed countries must agree and implement emissions reduction measures; developing countries should take on voluntary mitigation actions in the context of sustainable development

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<b>South Africa</b> (December 2008) (April 2009)	“In the BAP, we are working on the “full, effective and sustained implementation of the Convention”.	ACTIONS: (i) comparability of targets (QERCs) in tons of CO <sub>2</sub> -eq (ii) comparable compliance  1990 baseline for all Annex A countries of KP	Annex I countries shall, individually or jointly, reduce their emissions at least 40% below 1990 levels by 2020 and by 80% to 95% below 1990 levels by 2050,  “Emissions in developing countries shall reduce in relative terms, that is deviate below baseline emission trajectories, for some region by 202 and for all regions by 2050”
<b>Sri Lanka</b> (February 2009)		MITIGATION Based on “sustainable human development index” (HDI + climate + ecological component)	
<b>Tuvalu</b> (June 2009)			Stabilize GHGs “as far below” 350ppm of CO <sub>2</sub> equivalent as possible; limit temperature increase to “as far below 1.5 degrees celsius above pre-industrial levels as possible.”  Annex I Parties should reduce overall emissions of GHGs “by at least 40 per cent below 1990 levels in the commitment period 2013-2017)
<b>Turkey</b> (December 2008) (April 2009)	The criteria for differentiation among Parties should be the basic element of the shared vision; Vision is outlined in Article 2 of the UNFCCC framework	MITIGATION Need to change the categories of countries which do not reflect the current reality. Suitable criteria must be developed, including: historical responsibility, economic capability, per capita energy consumption, mitigation capacity, technological capacity, human development index and vulnerability ; using the principle of common but differentiated responsibilities and equity’. Should define differentiation criteria among Parties under AWG-LCA  SUPPORT historical responsibility, current emissions levels and financial capacities of Parties.	
<b>Uruguay</b> (April 2009)	Must address four building blocks of BAP		Reach stabilization level of 350ppm. Developed country group reduction of at least 45% below 1990 by 2020 and at least 95% by 2050
<b>USA</b> (December 2008) (April 2009)	“Ultimately be relatively concise - visionary and inspirational - and indicate our shared sense of resolve, our optimism that we can meet the objective of the Convention, and the view that we will take a strategic, pragmatic approach to reach that objective in the context of sustainable development.”  Shared vision “might operate as a kind of chapeau, either in the same text or in a separate decision, to the four elements that operationalize the actions envisaged in the Bali Action Plan”	MITIGATION “Commensurate with all Parties’ capabilities to act”  Level of ambition expected of parties will evolve as “the circumstances of countries naturally evolve over time”. An appendix of countries should be regularly updated “in accordance with objective criteria of economic development”.	Need “one or more reference points in the mid-century timeframe that can guide the efforts of the Parties and the international community and against which aggregate global efforts can be continually assessed”

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<b>Venezuela</b> (December 2008)	“The stabilization of GHG levels requires all countries, developed and developing to advance on a sustainable development path”	The international community needs to consider a change from the current consumer model, to a model that promotes a sustainable relation between economic activity and environment” [note: this hints at actions from developed countries to promote sustainable production and consumption]	
<b>Zambia</b> (February 2009)	Not restricted to number figure, but based on principles of the convention, especially CBDR. Should be science-based	MITIGATION CBDR	For developed countries, the range of 25-40% compared to 1990 levels by 2020

### SECTION III. LEGAL ASPECTS OF PROPOSALS FOR AN AGREED OUTCOME

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COUNTRY	FORMS OF AGREED OUTCOME	SEQUENCING (views on the timing of decisions)	COMPLIANCE	AMENDMENT PROCEDURES	FINAL CLAUSES (ratification, entry into force, etc.)	ANNEX CONTENT
<b>Algeria, Benin, Brazil, Burkina Faso, Cameroon, Cape Verde, China, Congo, Democratic Republic of the Congo, et. al.</b> (June 2009)	Submitted a proposal for amendments to the KP	Considerations for future commitment periods under the KP shall begin at least 7 years before the end of any commitment period.				Amend Annex B of the KP to include a column for QERCs (included numeric quantities in submission) for the commitment period (2013-2020).
<b>Algeria on behalf of the African Group</b> (June 2009)	Submitted a proposal for amendments to the KP	Considerations for future commitment periods under the KP shall begin at least 5 years before the end of any commitment period.				Amend Annex B of the KP to include a second commitment period (2013-2020) with QERCs.
<b>Australia</b> (November 2008) May (2009) June (2009)	Options: 1) the adoption of a new protocol "that unifies action under the convention and integrates the KP"; 2) two Protocols a) an amended KP b) a new Protocol under the Convention.	The COP to the KP shall decide after COP 15, and review periodically thereafter, guidelines for the preparation of the supplementary information in national communications and annual inventories, as well as methodologies and adjustments for estimating GHGs.	Compliance mechanisms should not apply to NAMAs in National Schedules, "except for the purpose of maintaining the integrity of the international carbon market."	<b>NEW PROTOCOL</b> "a Party may amend its national schedule to modify or replace an existing action provided the overall mitigation outcome is maintained or enhanced." National Schedules may only be amended once every two years during the commitment period. Amendments that register additional NAMAs will be adopted if no party submits an objection in writing to the Secretariat. If an objection arises, or if other amendments to Annex A are proposed that do not register additional NAMAs, regular Amendment procedures for Annex A during the commitment period (Article 29) shall apply.  KP Simplify procedures for amending Annex B.	The entry into force of the amended KP and the LCA outcome must be sufficiently linked.	<b>NEW PROTOCOL</b> - Annex A: National Schedules of Mitigation Commitments and Actions (with a national pathway to 2050, economy-wide and sectoral nationally appropriate mitigation commitments and actions. - Annex B: GHGs and Sectors/Source Categories  KP - Amend Annex A to include NF3 and additional HFCs and PFCs, but do NOT include the aviation and maritime sectors (which should be addressed under AWG-LCA). - Amend Annex B to include a second commitment period with QELROs. Could also add a column comparing the QELROs from the second commitment period to the first. Could determine non-legally binding mid- and long-term goals.

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<b>Belarus</b> (June 2009)	Submitted a proposal for amendments to the KP			Amendments to Annexes A and B of the KP shall be adopted by consensus only. They enter into force on the 90th day (rather than six months) after communication by the Depository to Parties of adoption, except for amendments to Annex B that propose more stringent QELRCs for the proposing party, which will enter into force six months after the date of communication by the Depository.		
<b>Bolivia</b> (December 2008) (April 2009)	Will for a "decision" at COP 15		Under the new Protocol, A1 reduction commitments are subject to MRV for compliance, and if A1 Parties are not in compliance, they are subject to penalties.			
<b>Bolivia on behalf of Malaysia, Paraguay, and the Bolivian Republic of Venezuela</b> (June 2009)	Submitted a proposal for amendments to the KP.					Amend Annex B of the KP to include two columns on a second commitment period (2013-2017): (1) quantified domestic emission reduction commitment, and (2) QERCs (based on historical responsibility and needs of developing countries).
<b>Brazil</b> (February 2009) (April 2009)	The KP and LCA discussions are distinct and should not be merged. An amendment to the Convention falls outside the BAP mandate.	Break up the 2 degree Celsius long-term goal into 'partial targets' of 0.2 degrees per decade over ten decades. Progress would be evaluated every decade in light of new science for possible redefinition and adjustments of the goal.	The new Protocol will apply the existing compliance system under the KP.			

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<b>Colombia</b> (June 2009)		Commitments under the KP shall be subject to a mid-term review." Commitments for the subsequent commitment period shall be defined during this mid-term review.				Either a new Annex to the KP (Annex [...]) or an amended Annex B that includes QERCs for (2013-2020) (submitted numerical targets that do not include reductions from flexibility mechanisms of LULUCF), and for (2021-2028).
<b>Costa Rica</b> (June 2009)	2 protocol option: a new Protocol to complement an amended KP	2 options regarding review of progress of the new Protocol: (1) a periodic review, including a comprehensive review "not later than 2016 with consideration of future commitments in the light of the Fifth Assessment Report of the IPCC;" (2) in the case of a long-term global goal, the long-term global goal for emission reductions will be evaluated and updated every ten years.  Several issues need to be further elaborated by the COP to the new Protocol "at the appropriate time," including guidelines for compliance procedures, modalities to MRV NAMAs and support for NAMAs, etc. (see italicized text in June 2009 submission).	NEW PROTOCOL - 3 Options for compliance with QELROs: (1) use the relevant procedures under the KP, modified appropriately; (2) create a new compliance system under the COP; and (3) apply penalties for non-compliance. - A compliance committee shall be established with a facilitative and an enforcement branch. - QERCs by developed country Parties shall be MRVed for compliance.	NEW PROTOCOL - Amendments enter into force on the 60th day after the Depository receives instruments of acceptance by at least half the Parties. - Annexes/Amendments to annexes enter into force on the 30th day after the Depository communicated the adoption to the Parties.	A provision of entry into force will elaborate on conditions that the amended KP and the LCA outcome have been sufficiently linked.	NEW PROTOCOL - Annex A: QELRCs for A1 - Annex B: Registry of NAMAs for NA1 - " <i>Further Annexes to be inserted</i> "

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EU (June 2009 - by the Czech Republic) (July 2009 - by Sweden)	Submitted a proposal for amendments to the KP.	<p>The COP to the KP shall periodically review the adequacy of commitments and actions, and consider commitments for subsequent commitment periods at least Z years before the end of any commitment periods.</p> <p>The COP to the KP shall, after COP 15...</p> <ol style="list-style-type: none"> <li>1) decide upon modalities and guidelines for including LULUCF emissions in A1 commitments.</li> <li>2) adopt procedures for emissions accounting resulting from extreme disturbances in forest management.</li> <li>3) adopt procedures to account for carbon stock changes associated with harvested wood products.</li> <li>4) revise guidelines for the transfer of emission reduction units between Parties.</li> <li>5) revise procedures of the CDM project</li> <li>6) elaborate procedures for the preparation, submission, review, and approval of proposals for inscribing absolute sectoral emission thresholds, sectoral emission targets, and the MRV of emissions and accounting of units.</li> <li>7) define relevant principles and guidelines for emissions trading.</li> <li>8) define procedures for transitional provisions and double counting in relation to mechanisms.</li> <li>9) define the relevant principles and guidelines for verification, reporting and accountability for emissions trading.</li> </ol>	Include a new article on annual compliance assessments in Article 3 of the KP.	Amendments to Annex A and B of the KP shall be adopted by consensus only. Amendments to Annexes A and B shall enter into force six months after the date of communication by the Depositary to such Parties of the adoption.		Amend Annex A of the KP to include additional gases and sectors

### SECTION III. LEGAL ASPECTS OF PROPOSALS FOR AN AGREED OUTCOME

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<p><b>Japan</b> (December 2008) (April 2009) (June 2009)</p>	<p>Prefers the adoption of a new protocol, but open to an amendment to the KP</p> <p>-Some issues in AWG KP are closely linked to AWG-LCA issues and should be discussed simultaneously: they are</p> <ol style="list-style-type: none"> <li>1) mitigation commitments or actions by developing countries;</li> <li>2) flexible mechanisms including CDM &amp; sectoral crediting mechanisms;</li> <li>3) broadening the coverage of GHGs</li> </ol> <p>-Japan proposed to establish a legal expert group to prepare the text of the new protocol or amend the text of the KP by the end of May 2009</p>	<p>The COP of the new Protocol shall carry out periodic reviews of...</p> <ol style="list-style-type: none"> <li>1) the Protocol. The first review shall take place at least 5 years before the end of the commitment period.</li> <li>2) the implementation of the Protocol, including periodic examinations of the obligations of the Parties, and adopting regular reports on the implementation of the Protocol.</li> <li>3) guidelines for review of the national action plans.</li> <li>4) guidelines and methodologies for the national systems for estimating GHGs for both Annex I and Annex C Parties.</li> <li>5) global warming potentials of GHGs.</li> <li>6) guidelines for the preparation of the necessary supplementary information for the annual inventories and national communications.</li> <li>7) guidelines for the expert review of (a) implementation of the commitments by A1 Parties, and (b) the information submitted by Annex C Parties in their annual inventories and national communications.</li> </ol> <p>The COP to the new Protocol shall, after COP 15, decide on...</p> <ol style="list-style-type: none"> <li>1) modalities and guidelines of LULUCF GHG reporting.</li> <li>2) guidelines for the national action plans taken by the Parties in Annex C, and for their review.</li> <li>3) guidelines for the national systems for the estimation of GHGs for both Annex I and Annex C Parties.</li> <li>4) guidelines for the preparation of the necessary supplementary information for the annual inventories and for national communications.</li> <li>5) modalities for the measurement of intensity targets.</li> <li>6) guidelines for the expert review of (a) implementation of the commitments by A1 Parties, and (b) the information submitted by Annex C Parties in their annual inventories and national communications.</li> </ol>	<p>The new Protocol will build on the KP's compliance system.</p>	<p>NEW PROTOCOL</p> <ul style="list-style-type: none"> <li>- An amendment shall enter into force on the 90th day after the Depositary receives an instrument of acceptance by at least 3/4 of the Parties.</li> <li>- Amendments to Annexes B and C shall be adopted only with the written consent of the Party concerned.</li> <li>- An annex, or amendment to an annex other than Annex A, shall enter into force six months after the date of the communication by the Depositary to the Parties of adoption. Amendments to Annex A shall enter into force on the 90th day after the Depositary receives an instrument of acceptance by at least 3/4 of the Parties.</li> </ul>	<p>Under the new Protocol, "Appropriate requirement for entry into force of the new framework should be considered, with a view to realizing an effective framework where all of the major economies should participate."</p>	<p>NEW PROTOCOL</p> <ul style="list-style-type: none"> <li>- Annex A: GHGs and Sectors/source categories</li> <li>- Annex B: QELROs for the commitment period, including an assigned amount of emissions, and reduction rates from 1990, 2000, 2005, and 2007</li> <li>- Annex C (for NA1 Parties): NAMAs that differentiate between developing countries based on their contributions to the global emissions of GHGs. Includes an obligation to (1) submit a national action plan, and (2) report on economy-wide and sector-specific GHG emissions or energy consumption per GDP.</li> </ul>

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Japan (cont'd) (December 2008) (April 2009) (June 2009)		7) guidelines for the details of the implementation of emissions trading and the CDM. 8) the relevant principles, modalities and rules, in particular for verification, reporting, and accountability for REDD in Annex C Parties. 9) elements, including the economic development stages, response capabilities and shares of GHGs in the world, to be considered as criteria for changes of circumstances of the Parties. 10) appropriate and effective procedures and mechanisms to determine and address cases of non-compliance				
New Zealand (December 2008) (April 2009) (June 2009)	Combine LCA and KP tracks to form an integrated post-2012 outcome within FCCC.  National "schedules" would express the commitments and actions of Parties and provide flexibility for the content and form of Parties' actions.	The COP to the KP shall... 1) adopt the definitions, rules and modalities for the crediting and trading mechanism for NAMAs. 2) define modalities to ensure that there is no double counting. 3) define the relevant principles, modalities, and rules for emission trading by Parties not included in Annex I or B [or C].		KP - Amendments to Annex(es) B [and C] shall only be adopted with the written consent of the Party concerned. - Amendments to Annex A shall enter into force on the 90th day after the Depositary receives an instrument of acceptance by at least 3/4 of the Parties.		KP Annex B would be amended to include a new table, or the new table would be included in a new Annex C. The table includes commitments (QELRCs for A1 Parties and quantified mitigation commitments for NA1 Parties) for the second commitment period.

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<b>NGO Proposal</b> (June 2009-not an official submission)	Prefers a two Protocol option: (1) a new Protocol under the Convention (a Copenhagen Protocol); and (2) an amended KP	<p>The COP to the Copenhagen Protocol and to the KP shall carry out periodic reviews of...</p> <p>1) the Protocol. The 1st review of the Copenhagen Protocol and the 3rd review of the KP to place by 2014 and shall be based on the findings of the 5AR of IPCC. Negotiations for next commitment period (2018-2022) to begin in 2013. Negotiations for subsequent commitment periods shall begin at least 5 years prior to the start of the next commitment period. In case emission targets are not amended, the Copenhagen Protocol includes default reduction figures that come into force January 2018.</p> <p>2) the carbon budget--the total global anthropogenic emissions of all greenhouse gases from the sources listed in Annex A.</p> <p>The COP to the Copenhagen Protocol and to the KP shall jointly, after COP 15...</p> <p>1) determine the rules and modalities governing the auctioning of emissions credits.</p> <p>2) periodically review and revise guidelines for the preparation of national registries and annual inventories and for estimating GHGs for non-Annex B Parties.</p> <p>3) elaborate on compliance procedures and mechanisms.</p> <p>The COP to the Copenhagen Protocol shall, after COP 15, decide on...</p> <p>1) guidelines for ZCAPs (Zero Carbon Action Plans to be submitted by Parties).</p> <p>2) further guidelines for registering NAMAs.</p> <p>3) further guidelines for LCAPs (Low Carbon Action Plans).</p> <p>4) procedures for the reporting and monitoring of adaptation activities.</p> <p>5) specific operational policies and guidelines for the Copenhagen Climate Facility (CCF); eligibility criteria for the disbursement of financial support; provisions to ensure the financial accountability of all supported actions.</p>	<p>COPENHAGEN PROTOCOL</p> <ul style="list-style-type: none"> <li>- Builds on the KP's compliance system. Expands the Facilitative Branch of the compliance committee to include developing country actions, taking into account CBDR.</li> <li>- The '1.3 times' emissions reduction penalty is replaced by financial penalties because it is ineffective.</li> </ul>		<p>Countries should ratify the amendment of the KP and the Copenhagen Protocol simultaneously.</p> <p>Should be rapid and have provisions ensuring no "gaming of the system".</p>	<p>COPENHAGEN PROTOCOL</p> <ul style="list-style-type: none"> <li>- Annex A: the amended Annex A of the KP (see below)</li> <li>- Annex B: QERCs for the US and other countries that have not yet ratified the KP and QELROs for newly industrialized countries above a certain threshold</li> <li>- Annex C: the scale of assessments to be used to determine the amount of financial support required of each Annex B Party to support the efforts of developing countries.</li> </ul> <p>KP</p> <ul style="list-style-type: none"> <li>- Amend Annex A to include emissions from international aviation and shipping on the basis of fuels sold within Annex B Parties.</li> <li>- Amend Annex B to include a column for QERCs for (2013-2017)</li> </ul>

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<p><b>NGO Proposal</b> (cont'd) (June 2009-not an official submission)</p>		<p>6) modalities to address instances in which a Party's emissions from deforestation and forest degradation increase subsequent to receiving financial support.</p> <p>7) rules for ensuring the participation of relevant stakeholders and to protect the rights of indigenous peoples and local communities in REDD-related initiatives.</p> <p>8) rules for ensuring the protection of biological diversity.</p> <p>9) guidelines for national systems for estimating GHGs for non-Annex B Parties.</p> <p>10) and periodically review guidelines for the preparation of supplemental information non-Annex B Parties must include in their national communications to measure compliance with their NAMAs and LCAPs.</p> <p>11) guidelines for review of NAMAs, LCAPs, developing country national systems and inventories, and developing country carbon budgets.</p> <p>The Adaptation Board of the Copenhagen Protocol shall...</p> <p>1) develop guidelines for the preparation of NAAS (National Adaptation Action Strategies)</p> <p>2) adopt entitlement allocations for financial support to Parties not included in Annex B for implementation of their NAAS and Urgent Action and Adaptation Readiness related activities.</p> <p>(3) develop the modalities for the operation of the Climate Risk Insurance Mechanism.</p> <p>(4) draft criteria for independent monitoring entities to be registered with the Adaptation Board.</p>				
<p><b>Norway</b> (December 2008)</p>	<p>Need consistency between AWG-KP and AWG-LCA on NAMAs and developed country mitigation commitments.</p>					

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<b>Panama on behalf of Colombia and Costa Rica</b> (February 2009)	On the elements of paragraph 1 of the BAP, "this discussion should have its proper place in the AWG- LCA agenda, with its due allotment of time"					
<b>Papua New Guinea</b> (June 2009)	Submitted a proposal for amendments to the KP	The COP to the KP shall, by its next session (subsequent to COP 15), elaborate modalities, rules and guidelines for implementing the REDD-plus mechanism.				Amend Annex A of the KP by replacing the Agriculture sector with "Agriculture, Forestry and Other Land Use" (AFOLU).
<b>Philippines</b> (April 2009) (June 2009)	Envisions a set of legally-binding decisions by the COP. "The outcome from Copenhagen should not involve any revision or result in the derogation of the principles and provisions of the Convention."					Amend Annex B of the KP to include columns for QELRCs for the commitment periods (2013-2017) and (2018-2022) (numeric quantities included in submission)
<b>South Africa</b> (December 2008) (April 2009)	Agreed outcome should be separate from an amended KP		The outcome of the AWG-LCA will build on and enhance the KP's compliance system to "allow the application of legally binding consequences for non-compliance with commitments by all developed countries" and to MRV the QERCs by developed country Parties for compliance.		Both the outcome of the AWG-LCA and the amended KP should be adopted "at the same time, in one decision under the COP" containing the same shared vision.	

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<b>Tuvalu</b> (May 2009) (June 2009)	Two Protocols a) an amended KP, and b) a new Protocol under the Convention	<p>The COP to the new Protocol and to the KP shall jointly decide on modalities and guidelines for trading emissions units between the two Protocols.</p> <p>The COP to the KP shall initiate consideration of renewing commitments at least five (rather than seven) years before the end subsequent commitment period.</p> <p>The COP to the KP shall regularly review and, as appropriate, revise the global warming potential of GHGs.</p> <p>The COP to the new Protocol shall develop</p> <ol style="list-style-type: none"> <li>1) guidelines to ensure that the rights of indigenous peoples and local communities are not adversely affected by REDD actions.</li> <li>2) modalities for the MRV of Tier 2 NAMAs associated with REDD.</li> <li>3) modalities for the MRV of actions or commitments by Parties.</li> <li>4) rules and modalities for eligibility for participation in international emissions trading.</li> <li>4) rules and modalities for eligibility for participation in international emissions trading.</li> <li>5) rules and modalities to assist developed Parties in reducing emissions from deforestation resulting from the import of forest products from developing countries.</li> <li>6) modalities for operation and composition of the Expert Committee on Adaptation.</li> <li>7) and determine the nature of the compensation, funding and support for particularly vulnerable developing countries.</li> <li>8) rules and modalities for the operation of the international renewable energy and energy efficiency bond mechanism.</li> <li>9) Guidelines for national systems of estimating GHGs.</li> <li>10) compliance provisions based on those of the KP.</li> </ol>	The new Protocol shall apply and build on the compliance provisions of the KP.	<p>NEW PROTOCOL</p> <ul style="list-style-type: none"> <li>- Amendments shall enter into force 30 days after the Depositary receives an instrument of acceptance by at least half of the Parties to this Protocol.</li> <li>- Annexes or amendments to an annex shall enter into force 30 days after the date of communication by the Depositary to Parties of adoption.</li> </ul>	The new Protocol shall enter into force 30 days after the deposit of the tenth instrument of ratification, approval, acceptance or accession.	<p>NEW PROTOCOL</p> <p>Annex I: Quantified emission limitation or reduction commitment or action for assessment period 2012-2017 compared with 1990 base year</p> <p>KP</p> <p>I- insert Annex A1 after Annex A: includes NF3, HFEs, PFGMIEs, and the International aviation and international maritime transport sectors</p> <p>- Insert Annex B1 after Annex B: includes the commitment period 2013-2017 for (1) A1 QELRCs with a base year of 1990 &amp; (2) NA1 QELRCs with base years TBD</p> <p>- Annex: Agreement on Immunities for Individuals Serving on Institutions Established by the COP to the KP.</p>

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<b>Tuvalu</b> (cont'd) (May 2009) (June 2009)		The Expert Committee on Adaptation under the new Protocol shall assist particularly vulnerable developing countries to develop guidelines for... (a) undertaking vulnerability assessments; (b) the preparation of national adaptation plans; (c) integrating adaptation actions into sectoral and national planning.				
<b>USA</b> (December 2008) (April 2009) (June 2009)	Calls for an "implementing agreement" under the Convention without specifying the relationship of this agreement with the second commitment period of the KP.	The COP of the new Protocol shall keep under review the implementation and progressive development of the Protocol.  The COP to the new Protocol shall develop [or Appendix 5 contains, if possible to complete] a framework for REDD-plus.				

## SECTION IV. PARTY SUBMISSIONS ON FINANCE

COUNTRY	INSTITUTIONS AND GOVERNANCE	FUNDING SOURCES AND MOBILIZATION	ELIGIBILITY CRITERIA AND CONDITIONS
<b>Algeria on behalf of African Group</b> (April 2009)	<p>An Adaptation Action Programme should be funded, which is 'complementary to and consistent with the G77 &amp; China proposals on financing and technology'</p> <p>A funding mechanism is created for adaptation and mitigation as well as for technology transfer and capacity building.</p> <p>Developed countries report financing and technology transfer in Annex 1 national communications, using a registry model for 'supported actions'</p> <p>FTCB support must be legally binding with consequences for non-compliance.</p>	<p>In agreement with G77 &amp; China proposal--0.5% GDP from developed countries for 'climate action' in developing countries.</p> <p>-2020 target for the scale of financial flows to support mitigation in developing countries is set at \$200 billion by 2020 (0.5% of GDP of Annex II Parties). 2020 target for adaptation must be at least \$67 billion / year.</p> <p>Major source of funding from public sector, but with additional funding from innovative private sector finance</p> <p>Developed countries provide full cost and incremental cost for technology for developing countries</p>	Direct access to funding for recipients.
<b>Algeria</b> (December 2008) (April 2009)		<p>"An ambitious package of financial and technological transfers to help developing countries reduce their emissions without incurring any welfare losses"</p> <p>Annex II Parties must meet their commitments for providing financial support in accordance with Article 4.3 and for the transfer of environmentally sound technology and know-how.</p> <p>"In particular, the recent Directive by the European Union including air transport into its ETS would impose significant constraints and incremental costs on a number of developing country airlines. Developing country airlines should be exempted from the provisions of the Directive or they should be given financial and technological support to enable them to comply with these provisions without incurring any incremental costs."</p>	
<b>Antigua - G77 &amp; China</b> (“A Technology Mechanism under the UNFCCC.” 27 Aug 2008.)	<p>New Finance Mechanism under the COP with a Board representing a balanced geographical distribution of Parties. Several funds will exist under the Board: Adaptation, Mitigation, and Technology. The COP will (i) decide on the priorities of the mechanism and eligibility for funding, and (ii) appoint a Board.</p> <p>A Multilateral Climate Technology Fund (MCTF) will provide technology-related financing, and will operate under the COP. These funding windows will also be supported by corresponding technical panels.</p> <p>Only funding under the authority of the COP will be regarded as fulfillment of developed country commitments.</p> <p>-Administration of the funds would be carried out by a trustee selected via an open bidding process.</p>	<p>Assessed contributions from developed countries of 0.5-1% of GNP.</p> <p>Only funding pledges within the Convention mechanism would be considered “new and additional”.</p> <p>Annex I countries to provide bulk of the financing required, mainly public finance.</p>	Direct access to funding for recipient countries.

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<p><b>AOSIS</b> (December 2008) (Workshop presentation of 04/01/09 in Bonn) Grenada submission (March 2009)</p>	<p>Any new financing should be under the authority of the COP.</p> <p>Establish Convention Adaptation Fund which is linked to GHG emissions on the polluter pays principle. The Fund will complement, not replace, the KP Adaptation Fund. Auctioning AAUs (Norway plan) and establishing levys could provide money for this fund. All NEW funds raised would be channeled through the UNFCCC and funds disbursed under the authority and governance of the COP. New governance required because existing IFIs put small states at disadvantage. Funding for TT should be managed in transparent regime. There should be no mixing of support or credits from the KP with LCA.</p> <p>Further, establish Multi-Window Mechanism to Address Loss and Damage from Climate Impacts (under the COP) which has insurance, rehabilitation, and risk management components.</p> <p>“Additional funding from multilateral financial institutions, under bilateral or multilateral development programmes, should be brought into line with the principles and objectives of the convention.”</p>	<p>Funding must be grant-based and generated from assessed contributions from developed country Parties, as well as market-based mechanisms and private sector sources.</p> <p>Funding from auctioning of AAUs under the Convention.</p> <p>Countries beyond Annex II countries should provide support.</p> <p>MRV OF SUPPORT Financial commitments by developed countries must be fully MRVed</p>	<p>Priority in funding should be given to the most vulnerable countries, especially LDCs and SIDs.</p> <p>Developing countries should take voluntary, nationally appropriate mitigation actions (NAMAs) and any identified pledge to take NAMAs should be recorded in an international registry held by the UNFCCC Secretariat;</p> <p>Allow for direct access to funding for recipient Parties.</p>
<p><b>Argentina</b> (February 2009) (April 2009) (February 2009)</p>	<p>Supports proposal by the G77 &amp; China. Including support for MCTF and advocates that the MCTF should include supervision of financing mechanisms.</p> <p>A new body on technology transfer and finance should be convened under the UNFCCC--this body should fund NAPAs and NAMAs, among other things. This body should reduce “diversification among existing sources of funds within the Convention”</p>	<p>“Provision of financial support by developed countries based on common but differentiated responsibilities and historical responsibility”</p> <p>Supports extending the share of proceeds to the JI and ETS mechanisms, recognizing that “this will result in a rapid and effective way to increase the funds that are urgently needed. These funds will be additional to the funds currently available as share of proceeds of the CDM.”</p>	<p>Include financing for REDD activities.</p> <p>Allow for direct access to funding for Non Annex I countries.</p>
<p><b>Australia</b> (December 2008) (March 2009) (April 2009) (May 2009) (June 2009)</p>	<p>Maintain elements of the existing funding architecture that work well. Investigate new architecture for finance.</p>	<p>Calls for: “global action which mobilises greater financial resources, including from major developing economies, and results in fully functional global carbon markets.”</p>	<p>May use Low Emission Development Strategies in identifying the provision of finance and financial support needs.</p> <p>National Adaptation Strategies for providing support to the most vulnerable countries in need of adaptation assistance--the Strategies would be written with the help of a Adaptation Advisory Panel</p>

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<b>Bangladesh</b> (April 2009)	Supports MCTF for technology funding.  Financial mechanism should be fully under the COP, managed by a Board similar to the Adaptation Fund Board, and should be enhanced.	Funding from Annex I countries on the basis of polluter-pays principle, possibly by implementing an International Air Passenger Adaptation Levy or Green Levy on airfare and carbon taxes.	Prioritize funding for full implementation of NAPAs.  Direct access to funds for recipients.  Funds should be distributed in accordance with a vulnerability criteria that gives preferential access to adaptation funds to vulnerable Parties.
<b>Bolivia</b> (December 2008) (April 2009)	Proposes the creation of an “Integral Financial Mechanism for Living Well,” which “must be under the coverage of the UN, and in no case under the GEF and other intermediaries such as the world Bank and regional development banks.” Decisions must be made by all Parties, not by donors or other administrators.	Supports proposal by G77 & China --emphasizes responsibility of developed countries to ‘repay climate debt’	Special proposal for a fund-based mechanism for REDD plus activities
<b>Brazil</b> (February 2009) (April 2009)	Supports idea of registry as a framework for NAMAs and for the support they receive (to link actions with support). Non-Annex I countries would voluntarily propose actions for the registry, along with an estimate of the international support needed for such actions and their expected mitigation result. Proposal for a mechanism to address loss and damage associated with climate change impacts in developing countries, including insurance. Proposes that funding for capacity building be channeled outside the registry.	Supports proposals by G77 & China on finance and technology-- contributions from developed countries at a level of 0.5-1% GDP Funds to be provided from the assessed and mandatory contributions of developed countries as part of their commitments under the UNFCCC; Additional sources from new and innovative international and regional mechanisms to ensure predictable financing.	Ensure direct access for financial resources.
<b>Canada</b> (December 2008) (April 2009)	Maximize the effectiveness of existing international financial mechanisms. Proposes the recognition of technology cooperation efforts, “including those external to the Convention, as contributions to the fulfillment of commitments under the Convention.”	Leverage private sector funding using global carbon markets.	

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<b>China</b> (December 2008) (April 2009)	<p>Proposed mechanism outlines institutional arrangements that include a Board accountable to the COP with the support of a Secretariat, a Scientific Advisory Panel, a Monitoring and Evaluation Panel, and a Trustee or Trustees. The following windows are to be created: Adaptation Fund, Mitigation Fund, Multilateral Technology Acquisition Fund and Capacity Building Fund. May possibly also use innovative finance instruments like Venture Capital Fund and Climate Insurance Fund.</p> <p>The Mechanism shall facilitate linkages between various funding sources and separate funds in order to promote access to a variety of available funding sources and reduce fragmentation.” The Mechanism should be governed with “equitable and balanced representation of all Parties.”</p> <p>Financial resources are in addition to ODA. Funds pledged outside of the UNFCCC will not be considered as support that fulfills the obligations of the donor countries.</p>	<p>Developed country contributions by percentage of annual GDP, e.g. 0.5-1%, in addition to existing ODA. Private sector finance will be complementary, but primary finance will be public from developed countries</p> <p>Specific proposal for the MCTF to be financed by assessed contributions from developed country Parties, shall be new and additional to ODA, and “must be raised according to respective responsibilities for cumulative and historical GHG”. Sources include:</p> <ul style="list-style-type: none"> <li>i. 5% levy to a carbon-intensive products and services in Annex I Parties.</li> <li>ii. 5% profits participation of carbon-intensive patented processes.</li> <li>iii. 2% overprice on fossil fuels to be contributed by Annex I Parties.</li> </ul> <p>Finance and technology support are the responsibility of developed country Parties.</p>	<p>“Developing countries propose lists of NAMAs together with technology, finance and capacity building support” in a mechanism to match actions with support.</p>
<b>Columbia</b> (April 2009) (June 2009)	<p>Supports establishment of MCTF establishment</p> <p>Establishment of a compliance mechanism under the Technology Mechanism to review compliance of Annex I provision of financial resources.</p>	<p>Finance for adaptation should be provided by developed countries at the rate of initially 0.7% and later (2nd commitment period) 2% of the countries GDP. Further resources should be provided by 2% of CDM project activities and 4-8% (both numbers used) of JI project activities and emissions trading. MCTF funds should be acquired by 5% levy to a carbon-intensive products and services in Annex I Parties, 5% profits participation of carbon-intensive patented processes, 2% overprice on fossil fuels to be contributed by Annex I Parties.</p>	<p>Funds to be used for wide range of activities</p>
<b>Costa Rica</b> (April 2009)	<p>Financial mechanism fully under and accountable to the COP</p>	<p>Sources include finance of the Adaptation Fund extended to Joint Implementation and Emissions Trading Schemes, Schemes to ensure that financial needs for adaptation be covered. The share of proceeds shall represent at least 2% of the ERUs and AAUs issued. This extension applies in addition to a predictable, sufficient and long-term financial mechanism for adaptation.</p>	
<b>Costa Rica, el Salvador, Honduras, Nicaragua, Panama</b> (September 2008)	<p>Developing countries could establish a list of possible mitigation options, each associated with a cost. The developed countries could then bid or select from the developing country proposals; thereby allowing countries to cooperate to reach the common mitigation goal.</p>	<p>Supports Norway proposal.</p> <p>Essential that developed countries commit to a target of financial aid and technology transfer to sustain the efforts of developing countries.</p> <p>MRV OF SUPPORT Technological and financial support pledged by the developed countries should be verified by an independent body to ensure that countries meet their commitment</p>	
<b>Cuba</b> (February 2009) (March 2009)	<p>Supports institutions proposed by the G77 &amp; China submission on technology and finance.</p> <p>Cuba further supports the views of AOSIS.</p>	<p>“support should be related to historical contribution to climate change, GHG emissions per capita, and national capabilities”</p>	

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COUNTRY	INSTITUTIONS AND GOVERNANCE	FUNDING SOURCES AND MOBILIZATION	ELIGIBILITY CRITERIA AND CONDITIONS
<b>Ecuador</b> (February 2009) (April 2009)	Include innovative financial mechanisms to compensate developing countries for foregoing GHG emitting economic activities. Proposes a multilateral fund.	Contributions from developed countries taking into account their historic GHGs emissions and economic capacity.	Direct access to funds for recipients without going through intermediaries and implementing agencies
<b>EU</b> (Communication by commission, not official submission January 2009) (March 2009) (April 2009) (September 2009)	“Governance of the future international financial architecture should be decentralised and bottom-up,” and should be efficient, effective, and equitable. The EU proposes that a new High-level Forum on International Climate Finance should monitor and regularly review gaps and imbalances in financing mitigation and adaptation actions.  Developed countries should record financial support in a registry.	Finance requirements for adaptation and mitigation actions in developing countries could be €100 billion per year by 2020. Domestic private and public finance could deliver between 20-40%, the carbon market up to around 40%, and international public finance could contribute to cover the remainder.  International public funding in the range of €22 to 50 billion per year should be made available in 2020. From 2013 public funding contributions should be shared out on the basis of ability to pay, responsibility for emissions, and emissions reduction commitments of contributing countries. Economically more advanced developing countries should also be contributors. On the basis of these assumptions, the EU share would be from around 10% to around 30% depending on the weight given to these two criteria. In case of an ambitious outcome in Copenhagen, the EU’s fair contribution could therefore be between € 2 to 15 billion per year in 2020 depending on the overall size of the global financing agreed and the weight given to each distribution criterion.  Explore innovative financing through levies on international aviation and maritime transport. Climate finance could be a blend of ODA and other sources in the medium/long term.	All countries, except LDCs, should prepare low-carbon growth plans by 2011, including credible mid-term and long-term objectives and prepare annual greenhouse gas inventories. The EU should present its own low-carbon growth plan for the period until 2050 by 2011.
<b>Georgia</b> (March 2009)	Create simplified CDM to fund small-scale projects. Create a CDM Bank to provide “upfront funding secured by the issuance of expected CERs”		
<b>Guyana</b> (April 2009)	New financing architecture proposed based on the principles of effectiveness, efficiency and equity, and should be country-driven” More efficient and greater access to GEF funding.  “Financial initiatives outside of the UNFCCC should not be counted as fulfillment of Annex 1 Parties’ financial commitments”	Funds to come from implementation of Annex I countries’ commitments, the 2% levy on the CDM, the private sector and from “new and innovative financial mechanisms.”	Priority given to most vulnerable countries in funding adaptation; flexible financing for LDCs.
<b>Iceland</b> (December 2008) (April 2009)	Reform current institutional arrangements first.	Carbon markets and the private sector as primary sources of funds  Technology, “climate-friendly investment decisions” and public-private partnerships	

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COUNTRY	INSTITUTIONS AND GOVERNANCE	FUNDING SOURCES AND MOBILIZATION	ELIGIBILITY CRITERIA AND CONDITIONS
<p><b>India</b> (December 2008) (April 2009) (August 2009)</p>	<p>Establish a Finance Mechanism with an Executive Board under the COP. “The proposed financing architecture should be organized into functional windows to address specific requirements such as a Technology Acquisition and Technology Transfer Fund, a Venture Capital Fund, Collaborative Climate Research Fund, Adaptation Fund etc. The financing architecture could integrate other funds operating under the Kyoto Protocol to avoid duplication.” Each window would operate independently. Governance structure must include developing country perspectives. Funding cannot be voluntary—it must be a legally binding obligation. Donors do not decide what or how much gets funded.</p> <p>Proposal for a dedicated team of experts (thematic assessment unit) to “carry out the relevant assessments for disbursement to the designated national funding entities of the developing country Parties”.</p> <p>“Funding with a common architecture under the UNFCCC that treats financing as ‘entitlement not aid’. Finance must be considered a ‘legal obligation’ and not be structured as ‘repayable loans’”</p> <p>Funds pledged outside the UNFCCC will not be considered as acceptable support.</p>	<p>“MCTF financed by Annex II (covering full costs and incremental costs). No non UNFCCC funds.” “Funding will be new and additional, over and above all existing and likely flows from domestic and foreign official and private sources currently financing development” contributions from developed countries amounting to 0.5% of GDP of the developed world (on top of existing ODA)</p> <p>Finance should be in the form of grants—not loans. International levys, private grants, and bilateral funding could also be considered as sources for funding, but any funding outside of the authority of the COP would not be considered as fulfillment of Party obligations under the Convention. Carbon markets could be a source of finance PROVIDED THAT developed countries take on even deeper targets, “potentially negative emission obligations for some developed country parties”</p>	<p>NAMAs should be voluntary for developing countries and fully funded through a UNFCCC financial mechanism.</p> <p>Calls for direct access to funding.</p> <p>Funding criteria could be differentially established for different groups of developing country Parties, with special eligibility for ‘Vulnerable States’ and LDCs. Proposed criteria for funding: “Impact on adaptive capacity and mitigation beyond business as usual: Adaptive capacity realized or emissions mitigated per unit of investment, Conformity to a host country’s national program, Contribution to the host country’s sustainable development objectives, Ability to fund the base costs directly or through other sources subject to the proposed financial architecture providing grants or resource transfers to fund all agreed incremental costs related to addressing climate change.”</p>
<p><b>Indonesia</b> (December 2008) (April 2009)</p>	<p>Establish a funding mechanism consistent with policies, program priorities and eligibility criteria under the COP</p>	<p>Primarily public funding, with complementary private sector resources: “New and additional source could be generated from:</p> <p>(a) Auctioning of assigned amounts or emission allowances from Developed Countries at the international and/or domestic level</p> <p>(b) A share of proceeds from market-based mechanisms under the Kyoto Protocol”</p>	<p>Direct access to funding.</p>
<p><b>Japan</b> (November 2008) (April 2009) (May 2009)</p>	<p>Utilize existing organizations, especially MDBs, Continue CDM activities, and minimize operational costs of funds.</p> <p>Grant resources should be concentrated on the countries most in need, like LDCs.</p> <p>UNFCCC governed funds and other funds will be considered as acceptable support, including support channeled through international organizations, bilateral ODA, technology assistance, R&amp;D investment, and market investment. Fully involve MDBs.</p>	<p>Mobilize “all kinds of financial resources.” In accordance with CBRD, developing countries should also ‘take actions’ in promoting adaptation and mitigation.</p> <p>Enhance both public and private funding. Promote private loans for technological inducement and investment, which are related to the improvement of intensity in each sector as well as measures with co-benefits.</p> <p>Developed countries will provide financing to developing countries.</p>	<p>MRV capacity must be in place in developing country to receive finance and technology support</p> <p>“Mitigation policies and measures in national action plans of developing country Parties should be quantified” so that support can easily be provided.</p> <p>Measures that are necessary to link with financial assistance: updated NAPAs, expansion of Parties to develop NAPAs, improvement of information sharing, and utilization of MDBs.</p>

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COUNTRY	INSTITUTIONS AND GOVERNANCE	FUNDING SOURCES AND MOBILIZATION	ELIGIBILITY CRITERIA AND CONDITIONS
<b>Korea</b> (Republic of) (February 2009) (April 2009) (AWG-LCA intervention, Bonn April 2009) (Workshop presentation of 04/01/09 in Bonn)	Agrees on principle to finance with carbon credits at COP15, and sort out the details later.	Sectoral crediting, cap-and-trade schemes, or carbon credit for NAMAs could be established under the UNFCCC as one of the means of finance and technology transfer for the BAP while the CDM under the Kyoto Protocol is primarily a compliance mechanism for Annex I. Revenue from the sales of the credits will channel financial resources and technologies necessary for the NAMAs of developing countries.  “a certain portion of the carbon credit is discounted and retired from the global carbon market”	Developed countries should make a ‘low carbon development roadmap’ for developing countries to start the process of providing finance and technology.  Provide carbon credits for some NAMAs to provide funding for NAMAs that might not otherwise receive funding from public finance.
<b>Lebanon</b> (December 2008)	Supports proposal of G77 & China on finance--a new mechanism under the governance of the COP and with “equitable and geographically balanced representation”		“Nuclear power should not be supported”  Allow direct access to funds for recipients.
<b>Lesotho for LDCs</b> (April 2009)	Supports the G77 & China proposed Financial Mechanism; this Mechanism should include an Adaptation Fund  “Enhancement and reform, to the extent practicable, of existing institutions must be given serious considerations in the design of the financial architecture for financial mechanisms). A consolidated financial mechanism with multiple windows could provide same level of service.” Financial mechanism should be fully under the COP.	Developed country Parties are responsible for providing financing for developing countries. “Sources of money: • New, additional, reliable and predictable financial resources through weighted assessed contribution of developed country Parties; • Assessed contribution of developed country Parties, taking into account GDP, historical cumulative contribution to GHG concentrations in the atmosphere. • Governments are the best mobilizers of funds as evidenced by their actions to solve the current economic crisis; • Levies from market mechanism, included an expanded 2% on Kyoto Mechanisms; • A levy on civil aviation and maritime transport except journeys originating and destiny to LDCs; and • Contributions from private sector and foundations	Give priority in funding to most vulnerable countries.  Fund NAMAs, NAPAs, REDD, technology finance.  Direct access to finance for recipients
<b>Madagascar</b> (December 2008)		Developed countries should dedicate 0.5% of their GDP to climate change in the developing countries; international tax on global monetary transactions or on fossil fuels or by the use of change reserves.	
<b>Malaysia</b> (January 2009) (April 2009)	Supports the G77 & China proposal.  Funds pledged outside the UNFCCC will not be considered as acceptable support.	Developed countries should bear the full cost of financing, technology and CB on a MRV basis, above the incremental costs currently required by the Convention in order to support and enable NAMAs.	
<b>Maldives for the LDCs</b> (December 2008)	Funds generated by the Adaptation Solidarity Levy would go to the KP Adaptation Fund for disbursement. The Levy will be collected by airlines at the point of sale.	Adaptation solidarity levy on international air passengers.	

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COUNTRY	INSTITUTIONS AND GOVERNANCE	FUNDING SOURCES AND MOBILIZATION	ELIGIBILITY CRITERIA AND CONDITIONS
<b>Mexico</b> (August 2008) (May 2009)	<p>World Climate Change Fund (Green Fund)--COP issues guidelines on what it is to fund and prioritize, a levy on contributions to the overall Fund would go toward two smaller funds: an Adaptation Fund and a Clean Technology Fund.</p> <p>Emphasis on single umbrella fund and coherence with ongoing development.</p> <p>The Fund is best for Plus activities (conservation, sustainable management of forests and enhancement of forest carbon stocks). A market-based approach is best for REDD to increase cost-effectiveness by encouraging participation in carbon markets (beyond CDM).</p> <p>Equitable Executive Council with three independent counselors on Science, MDBs and Social orgs. Two support committees on science and MDBs. Administration by an existing multilateral institution, chosen by the COP.</p>	<p>World Climate Change Fund (Green Fund): Assessed contributions based on emissions, GDP and population. All contributions received by the Fund should be subject to a double levy, one for the Adaptation Fund and a second levy for the Clean Technology Fund.</p> <p>Under this plan, countries beyond Annex II would be required to provide support</p> <p>“In order to promote the deployment of REDD Plus activities in developing countries, adequate financial and technological support should be made available to effectively address the objectives of the Bali Action Plan. The mitigation potential of REDD Plus will not be unleashed unless we succeed in creating a fair and efficient financial architecture suitable for the implementation of these activities under a variety of national circumstances. To that end, financial resources must be mobilized that are transparent, adequate, predictable and sustainable over time. Moreover, it is important to ensure that funding is mobilized from a variety of sources and that it is measurable, reportable and verifiable.”</p>	<p>Only contributing countries can receive funds (with a waiver for LDCs).</p> <p>The mitigation activities to be supported shall be defined by contributing countries based on their own development needs and in accordance with their national circumstances, and shall be MRVed. Activities eligible for receiving support from the Fund could be on a variety of scales, from isolated activities and projects to programs, sub-sectors, entire sectors or sub-national approaches.</p> <p>An upper threshold (proposed 15% of Fund) allowed for any single country to avoid imbalances.</p>
<b>Micronesia</b> (April 2009)	<p>UNFCCC governed funds and other funds (i.e.: WB CIFs, bilateral funding, multilateral funding) will be considered as acceptable support.</p>	<p>Funding could come from GEF, World Bank CIFs or other international financial institutions or through bilateral or multilateral assistance plans.</p>	
<b>New Zealand</b> ("Measurable, reportable and verifiable actions." 30 Sept 2008) (April 2009) (May 2009)	<p>Effective financing requires action at multiple levels, including redirecting private and public investment, the financial mechanism of the Convention, ODA, national policies and proposed new financing options and mechanisms. UNFCCC should approach funding along the lines of i) assessing ii) collecting and iii) delivery</p> <p>Do not create new funds.</p> <p>UNFCCC governed funds and other funds will be considered as acceptable support.</p>	<p>“increase the number of countries with financial obligations under the Convention beyond the current Annex II list to the Framework Convention.”</p> <p>Main sources are private sector and through carbon market finance.</p>	<p>Do finance REDD. Eligibility assessed periodically according to agreed criteria (such as GDP per capita)</p> <p>Allow for direct access to funding for recipients.</p>
<b>Nicaragua on Behalf of Guatemala, Dominican Republic, Honduras, Panama and Nicaragua</b> (April 2009)	<p>New Funding and funding sources are needed to complement the current existing funding mechanisms. “The Convention’s financial mechanism should include different funds to be established under the new post-2012 global regime, namely: the Multilateral Climate Technology Fund (MCTF), the Convention’s Adaptation Fund, the Mitigation Fund, including a forest reserve fund; as well as the relevant existing funds, such as the Least Developing Country Fund (LDCF) and the Special Climate Change Fund (SCCF).”</p> <p>Establish a new Adaptation Fund under the Convention “This Fund should have at least two windows, one of which will support compliance with adaptation commitments under the Convention, and the other will compensate damages and losses that results from the impacts of climate change”</p>	<p>Sources of funding:</p> <ol style="list-style-type: none"> <li>1) The Adaptation Fund under the Kyoto Protocol, for which up to 2% of current clean development mechanism (CDM) needs to be guaranteed, as well as a share of proceeds from the sale of emission reduction units from joint implementation projects and from the auctioning of assigned amount units from the emissions trading.</li> <li>2) A new burden sharing mechanism or solidarity fund based on a levy on international airfares and maritime transport freight.</li> <li>3) A global carbon tax based on a levy on fossil fuel consumption.</li> <li>4) Innovative financial instruments such as capital risk or climate safety funds.</li> <li>5) Mitigation Fund and the MCTF</li> <li>6) Contributions up to 0.5-1% of annual GDP of developed countries through public grants.</li> <li>7) Financial resources from the LDCF and the SCCF.</li> <li>8) Contributions from corporate donors, NGOs and international financial institutions in contact with regional institutions.</li> </ol>	<p>Newly established Adaptation Fund will fund NAPAs and other measures.</p>

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COUNTRY	INSTITUTIONS AND GOVERNANCE	FUNDING SOURCES AND MOBILIZATION	ELIGIBILITY CRITERIA AND CONDITIONS
<b>Norway</b> (February 2009) (April 2009)	<p>Raise funds for adaptation through allowance auctioning</p> <p>ODA will continue to provide support for adaptation funding because climate programs blend with standard development programs.</p> <p>Support private sector mechanisms, especially carbon markets, that will provide finance.</p>	<p>Auction a share of allowances related to international carbon emissions trading (about 2%)</p> <p>Provision of new and additional financial resources should be generated independent of national budgetary processes.</p> <p>Countries beyond Annex II will be required to provide support</p> <p>Technology investment from the private sector will also be an important source of finance.</p>	<p>Primarily focused on adaptation and capacity building.</p> <p>Incentivize establishment of carbon tax or cap and trade systems in developing countries by giving those countries a portion of the allowances set aside by the mechanism proposed earlier by Norway.</p>
<b>Panama, Paraguay and El Salvador</b> (April 2009)	<p>“Financial instruments and funds that facilitate the blending of public, private, bilateral and multilateral resources for the deployment of technologies at the scale required shall be encouraged within domestic, regional and international contexts.”</p>	<p>“Developed country Parties shall agree individually to a quota/target of financial transfer to sustain developing country NAMAs in an equitable manner. In keeping with the principle of historical responsibility, this quota will be determined in function of the cumulative emissions of each developed country. The financial support pledged by the developed countries should be verified by an independent body to ensure that countries meet this new commitment.”</p>	
<b>Philippines</b> (April 2009)	<p>Supports the G77 and China proposal</p>	<p>Favors Norwegian proposal for auctioning allowances and calls for an immediate ban on issuing free allowances. Additionally supports Assessed Contributions of Annex I Parties (Mexico Plan) and the Swiss plan for a global CO2 levy. Proposes that 10% of JI and ET funds go to Adaptation Fund.</p>	<p>Favors Norwegian proposal for auctioning allowances and calls for an immediate ban on issuing free allowances. Additionally supports Assessed Contributions of Annex I Parties (Mexico Plan) and the Swiss plan for a global CO2 levy. Proposes that 10% of JI and ET funds go to Adaptation Fund.</p>
<b>Qatar</b> (February 2009) (April 2009)	<p>Supports the G77 &amp; China proposal</p>	<p>Supports G77 &amp; China proposals for technology transfer and finance</p> <p>MRV OF SUPPORT Annex I country commitments must be MRVed</p>	
<b>Saudi Arabia</b> (December 2008) (Workshop presentation of 04/01/09 in Bonn) (April 2009)	<p>Supports G77 &amp; China technology and finance proposals for a new financial mechanism under the COP.</p> <p>Has also proposed SAM, a Support and Accreditation Mechanism to effectively implement financial commitments which support developing country climate finance needs.</p>	<p>Supports G77 &amp; China proposals for technology transfer and finance.</p>	<p>Supports direct access to funding for recipient countries.</p>
<b>Singapore</b> (April 2009)		<p>Developed countries should provide support for developing countries.</p>	<p>NAMAs for developing countries should be voluntary</p>

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COUNTRY	INSTITUTIONS AND GOVERNANCE	FUNDING SOURCES AND MOBILIZATION	ELIGIBILITY CRITERIA AND CONDITIONS
<p><b>South Africa</b> (September 2008) (December 2008) (April 2009)</p>	<p>Supports G77 &amp; China technology and finance proposals.</p> <p>Supports African Group proposal April 2009</p> <p>Establishment of a register of nationally-appropriate mitigation actions (NAMAs) by developing countries. The UNFCCC Secretariat shall open and maintain the register of NAMAs.</p> <p>Developing countries establish a “National Coordination Body” to be the “focal point to support the implementation of climate change projects and programmes that have received TFCB support.</p> <p>The assumptions and methodology underpinning the proposed action and the required support for the indicative mitigation actions will be assessed by a Technical Panel established under the Convention. Once the Technical Panel reports that the action and support have been established using good practice, a request to the Financial and Technology Mechanism(s) of the Convention is triggered. The Financial and Technology Mechanisms shall be responsible for matching support to actions. The developing country concerned will implement the proposed action. Implementation shall be enhanced through support for building the institutional capacity in developing countries, specifically through the proposed national coordination mechanism</p>	<p>All sources of finance should be mobilised by the UNFCCC through at least 4 types of funds: (1) public funding (e.g. grant finance, subsidies); (2) market-linked sources of funding (e.g. revenues from auctioning of allowances); (3) carbon market (e.g. CDM, ETS, no-lose sectoral crediting baselines); (4) market finance (e.g. loans on preferential terms, revolving credit, venture capital); and others.</p> <p>“Each developed country Party shall report the direct financial transfers and indirect contributions through quantifiable technology and capacity-building support made in its national communication every x year(s).”</p> <p>“Options to consider might include 0.5% GDP of Annex II Parties as a group or \$200 billion annually, to be reached by 2020 or 2030”</p> <p>MRV OF SUPPORT Funding must be fully MRVed.</p>	<p>Finance should not be limited to the carbon market.</p>
<p><b>Sri Lanka</b> (February 2009)</p>	<p>Established the Sri Lanka carbon fund to facilitate CDM projects and carbon trading.</p> <p>Need a mechanism to help build developing country expertise and offer financial assistance for verification.</p>		
<p><b>Switzerland</b> (November 2008)</p>	<p>Funding would go into two windows: National Climate Change Funds (managed at national level): for national priorities and Multilateral Adaptation Fund (\$18 billion/yr): for prevention and insurance.</p> <p>The funding scheme proposes a basic tax exemption of 1.5tCO<sub>2</sub>-eq per inhabitant, to take into account the principle of CBRD. This free emission allowance relieves the low-emission countries, while countries with higher-emission levels make a higher contribution to the fund. A share of revenues differentiated according to groups of countries formed on the basis of the per capita GDP shall flow into a global Multilateral Adaptation Fund (MAF) and the NCCF.</p> <p>Based on per capita GDP. Industrialized countries would make 76% of the contribution to the fund.</p>	<p>Levy of US\$2 per ton of CO<sub>2</sub> (tCO<sub>2</sub>e) with an exemption of 1.5 tCO<sub>2</sub>e per capita</p>	<p>Focus on adaptation and capacity building.</p>

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COUNTRY	INSTITUTIONS AND GOVERNANCE	FUNDING SOURCES AND MOBILIZATION	ELIGIBILITY CRITERIA AND CONDITIONS
<b>Turkey</b> ("regarding para 1 of the BAP" 8 Sept 2008) (April 2009)	A Technology Transfer Fund	Support should be based on historical responsibility, current emissions levels and financial capacities of Parties	
<b>Tuvalu</b> (May 2009)	<p>Establish a Multilateral Fund for Climate Change (MFCC) with five funding windows: Mitigation, REDD, Adaptation, Insurance, and Technology. MFCC Board will have equal geographic representation and "shall establish technical advisory panels for each of the funding windows to support the Board in identifying sources of funding and spending priorities and to support recipient countries in developing project proposals"</p> <p>"International renewable energy and energy efficiency bond mechanism to provide developing country Parties with interest-free loans for financing the development and deployment of renewable energy and energy efficiency technologies. Purchasers of renewable energy and energy efficiency bonds shall be provided interest payments through funding provided by the Technology Window of the Multilateral Fund on Climate Change." Each Party should also establish a national bond system.</p>	<p>Multilateral Fund for Climate Change (MFCC) will derive funding from:</p> <p>(a) "Contributions from all Parties based on a contribution formula developed by the Conference of Parties serving as the assembly of Parties. Criteria for such contributions shall be based on ability to pay and historical responsibility for emissions;</p> <p>(b) International levies on international aviation and maritime transport.</p> <p>(c) A share of proceeds from the trading of units established under Article 3 of this Protocol.</p> <p>(d) Contributions from the Kyoto Protocol Adaptation Fund. Such contributions shall be directed towards specific adaptation activities jointly agreed upon by the Conference of Parties serving as the meeting of Parties of the Kyoto Protocol and the Conference of Parties serving as the assembly of Parties to this Protocol</p> <p>(e) Additional contributions by Parties over and above assessed contributions identified in (a) above;</p> <p>(f) Contributions by philanthropic organizations and other donor sources."</p> <p>International support for Tier 2 NAMAs can come from bilateral support, support from the MFCC, or other international financial means.</p>	Prioritize funding for LDCs and SIDs.
<b>Ukraine</b> (August 2008)	The International Climate Fund--a special agency, designated to regulate carbon-credit relations between the Parties and to provide credits in carbon units in case of a temporary carbon budget deficit of the Parties.		
<b>USA</b> (April 2009) (May 2009)	<p>Still need to determine whether a new funding mechanism should be created. First look at using existing frameworks.</p> <p>Private sector expected to be a larger source of funding than the public sector.</p> <p>UNFCCC governed funds and other funds (including domestic, bilateral, regional, and multilateral) will be considered as acceptable support.</p>	<p>"Resources will need to flow from a wide variety of sources, including, for example, public sources in developed and developing countries, private investment, and – in the case of mitigation – the carbon market. The private sector is expected to be a much larger source of funding than the public sector"</p> <p>ODA should also be recognized as an important component of climate finance</p> <p>"Use private investment for sustainable financing in the long term for REDD-plus"--for now market and non-market funding is necessary.</p>	<p>Revenues only go to highest priority actions and only those that would boost national regulatory structures, including SDPAMS</p> <p>Developing countries must have Low Carbon Strategies (unclear whether all countries must have a Low Carbon Strategy)</p>
<b>Uzbekistan</b> (April 2009)	"It is necessary to establish new funds for technologies transfer, risk insurance and adaptation in the Convention framework for coverage of the future costs for the actions on mitigation and adaptation."		

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COUNTRY	INSTITUTIONS AND GOVERNANCE	FUNDING SOURCES AND MOBILIZATION	ELIGIBILITY CRITERIA AND CONDITIONS
<p><b>Zambia</b> (February 2009)</p>	<p>Financial resources must be over and above 0.7% of GNP of developed countries' ODA. Developed countries need to commit a target for financial assistance as well as technology transfer in the range of 1% of their GNP. It is important that the main source of this financing is through the public sector.</p> <p>UNFCCC governed funds and other funds will be considered as acceptable support.</p>	<p>Actions should be proportional to support, contributions from developed countries should be 1% of GNP in addition to ODA.</p> <p>MRV OF SUPPORT Funding must be subject to an MRV mechanism.</p>	

SECTION V. PARTY SUBMISSIONS ON TECHNOLOGY

Country	Institutions	R&D	Deployment of Existing Techs	Capacity Building	National Regulatory Framework	Transfer/IPR
<p><b>Antigua - G77 &amp; China</b> (“A Technology Mechanism under the UNFCCC.” 27 Aug 2008.)</p>	<ul style="list-style-type: none"> <li>• “Current institutional arrangements are insufficient to deliver immediate and urgent technology development, deployment, diffusion, and transfer to non-Annex I Parties.”</li> <li>• Propose to create a Technology Mechanism under the COP               <ul style="list-style-type: none"> <li>-Executive Body (EB), functioning as a subsidiary body under FCCC, made up of government representatives and experts on technology transfer, with balanced regional representation. Supported by:                   <ul style="list-style-type: none"> <li>- Strategic Planning Committee</li> <li>- Technical Panels</li> <li>- Verification Group</li> <li>- Secretariat</li> <li>- Multilateral Clean Technology Fund (MCTF)</li> </ul> </li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Technology Action Plan (developed by EB) will “accelerate research and invention through scientific and technical cooperation at all levels, including that of scientists and institutions.” And will “accelerate the rate at which technologies are developed and brought into effect.”</li> <li>• Venture capital, with public investment leveraging private capital markets for emerging technologies;</li> <li>• Research, development, and demonstration of new technologies, financed by venture capital and other sources;</li> <li>• Joint technology development.</li> </ul> <p>Capital for demonstration would come from the MCTF, financed by “VC and other sources.”</p>	<p>MCTF would fund new tech installations of “low-GHG emission technologies, including software and hardware” including cost of technical assistance, premature retirement of old equipment, training, fuel switch technologies, fuel and operational costs.</p>	<ul style="list-style-type: none"> <li>• Technical panels would compile info on and for CB (policies and measures; intellectual property cooperation; assessment, monitoring and compliance), but also on IPR and would advise EB</li> <li>• MATF would fund capacity-building for technological change, including costs of:           <ul style="list-style-type: none"> <li>- Research, development and demonstration of new technologies;</li> <li>- Enhancing human and institutional capacity.</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Technology panels would have research on PAMs (only mention)</li> <li>• DDD&amp;T requires “a continued emphasis by all Parties on the enhancement of enabling environments” among other things (i.e. also mention facilitating access to technology, and financing that leverages private sector financial resources).</li> </ul>	<p>Technology Action Plan (by EB) will ensure financing for technology transfer (including all available means to ensure the affordability of technologies, products and related services).</p> <p>Differentiates between public/private technologies saying private should be made affordable by measures to resolve IPR barriers and “addressing compulsory licensing of patented technologies.”</p> <p>Guarantees on FDI</p> <ul style="list-style-type: none"> <li>• Fund manufacturing capacity and cover costs of licensing</li> </ul>

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AOSIS (December 2008)	<p>Convention becomes the fulcrum for all actors. "Additional funding from multilateral financial institutions, under bilateral or multilateral development programmes, should be brought into line with the principles and objectives of the convention."</p> <ul style="list-style-type: none"> <li>- All NEW funds raised would be channeled through the FCCC and funds disbursed under the authority and governance of the COP.</li> <li>- New governance required because existing IFIs put small states at disadvantage.</li> <li>- Funding for TT should be managed in transparent regime.</li> <li>- Developing countries should take voluntary, nationally appropriate mitigation actions (NAMAs) and any identified pledge to take NAMAs should be recorded in an international registry held by the UNFCCC Secretariat;</li> <li>- There should be no mixing of support or credits from the KP with LCA.</li> </ul>	An international fund to fast-track development of renewable energy technologies.	Emphasize deployment and diffusion for RE and EE.	The establishment and provision of support to national and regional academia and Centres of Excellence; promotion of South - South cooperation	Reform to allow more incentives to private sectors addressing IPR and removal of barriers to D&D for both developed and developing countries.	<p>All countries should pledge to remove barriers to the import of renewable energy and efficiency technologies. Support should be provided encourage private sector to release IP Protection on RE and EE technologies so that they can be readily reproduced in developing countries.</p> <p>The transfer of technology should be implemented in a manner where it can be monitored and verified.</p> <p>-Mechanisms to address IPR would be promotion of joint R&amp;D between developed and developing countries through research, academic and government institutions can secure joint IPRs</p> <p>Financing should buy down IPRs or pay for alternative access regimes.</p>

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Country	Institutions	R&D	Deployment of Existing Techs	Capacity Building	National Regulatory Framework	Transfer/IPR
<b>Argentina</b> (April 2009)	<p>EGTT should further explore carbon market mechanisms that drive developed countries to finance the full incremental costs of technology application and deployment.</p> <ul style="list-style-type: none"> <li>-Review and reformulate development assistance policies of other UN agencies, international organizations and forums not directly related to climate change to “promote synergies” with UNFCCC</li> <li>-Supports G77 proposal for finance mechanism.</li> <li>-Need for international and national institutions.</li> </ul> <p>A new body on technology transfer and financing under the Convention, including technology panels, should be created to enhance implementation, including MRV of actions and support.</p> <ul style="list-style-type: none"> <li>-Need for alignment of work between UNFCCC, other UN agencies and other relevant international organizations</li> </ul> <p>Sectoral approach is the “logical platform” for financing mechanisms for technology transfer. In favor of multi-project schemes involving entire economic sectors or sub-sectors. Cooperative sectoral approaches should foster initiatives on R&amp;D, capacity building and technological cooperation. Should be tailored to national needs and priorities and should be part of NAMAs.</p>	<p>R&amp;D collaboration between national and regional research centres in a North-South and South-South cooperation scheme should be supported and implemented in the short-term under the coordination of the new body on technology transfer.</p>	<p>Carbon market mechanisms to drive developed countries to fund full incremental costs. Joint ventures to accelerate deployment and diffusion.</p>	<p>“Urgent need” for mechanisms to enhance enabling activities such as technology information, capacity building and innovative financing.</p>	<p>National supervision and guidance of private capital and market mechanisms.</p> <p>Activities that lead to the creation of enabling environments should be performed at all stages of the technology transfer cycle, i.e. research and development (R&amp;D), human and institutional capacity building, and technology demonstration, deployment and diffusion.</p>	<p>Carbon market mechanisms to drive developed countries to fund full incremental costs. Promoting joint-ventures to accelerate deployment, diffusion and transfer of technologies should contribute to effectively deal with intellectual property rights issues.</p>
<b>Australia</b> (December 2008)	<p>Identifies Asia Pacific Partnership (APP) as an excellent example of technology cooperation, specifically because it promotes voluntary public private partnerships.</p>	<p>Collaborative sectoral approaches can facilitate joint R&amp;D and enable world’s best practices to be applied across a given sector.</p> <p>Supports sectoral approaches such as APP to expedite the RD&amp;D of low-carbon tech and sector-specific expertise between countries and regions.</p>	<p>Improve access and effectiveness of CDM and JI through automatic in-principle approval for technical aspects of well-recognized technologies. Public financial support for mitigation should be prioritized towards investment in gaps in the carbon market and private sector investment. Sectoral approaches can lower transaction and risk-associated costs and provide attractive incentives for private sector investors.</p>	<p>Sectoral collaboration can help build capacity between Parties facing similar challenges.</p>	<p>A country’s enabling environment, particularly with relation to robust and transparent governance arrangements, will be a critical determinant of attracting investment flows. Parties should consider ways of improving the environment for technology diffusion, including enhanced regulatory frameworks, fostering positive environments for investment, and incentives for private sector, including strong IP protection.</p>	<p>Notes that it is not always A1 countries who drive low-carbon technologies (i.e., Australia imports wind turbines from China), and points out that governments hold little IP (this is the domain of the private sector).</p>

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<b>Bangladesh</b> (May 2009)	<p>The Technology Needs Assessment (TNA) process should be the basis for cooperation in technology related matters. Implementation of findings should be supported.</p> <p>Supports MTCE.</p> <p>Parties shall prepare national technology development action plan, establish national boards for technology cooperation and management.</p> <p>Proposes international Adaptation center to facilitate development, deployment and transfer of technologies in relevant sectors and ecosystem specific adaptation activities and support capacity for domestic R&amp;D</p>	Provide support “for upgrading indigenous technologies through innovation”			Provide support for “creating markets for relevant technologies with the right kind of investment and enabling environment, as well as promoting private sector participation”	<p>LDCs should be exempted from the obligation of patent protection of climate related technologies for adaptation and mitigation, as required for capacity building and development needs.</p> <p>Development of climate change adaptation and mitigation technologies must be kept outside the present IPR regime.</p> <p>Genetic resources that are essential for adaptation in agriculture, must not be patented by multinational or any other corporations.</p>
<b>Belarus</b> (May 2009)	Possibility of establishing new UNFCCC subsidiary body or expanding authorities of the Expert Group on Technology Transfer up to the level of the advisory center at UNFCCC subsidiary bodies for development and transfer of technologies (mainly informational and advisory functions).					
<b>Bolivia</b> (December 2008)	Propose the creation of an “Integral Financial Mechanism for Living Well”. On the governance of this financial mechanism, Bolivia proposes that it “must be under the coverage of the United Nations, and in no case under the Global Environment Facility (GEF) and other intermediaries such as the World Bank and regional development banks; its management must be collective, transparent and nonbureaucratic. Its decisions must be made by all member countries, especially by developing countries, and no by the donors or bureaucratic administrators.”					“Technology related to climate change must be fully within the public domain, not under any private monopolistic patent regime that obstructs and makes technology transfer more expensive to developing countries...Products that are the fruit of public financing for technology innovation and development must be placed within the public domain and not under a private monopolistic regime of patents, so that they can be freely accessed by developing countries.”

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Country	Institutions	R&D	Deployment of Existing Techs	Capacity Building	National Regulatory Framework	Transfer/IPR
<b>Brazil</b> (February 2009)	Supports G77 proposal for new technology mechanism (including verification body) under the convention: <ul style="list-style-type: none"> <li>Mechanisms would be comprehensive (covering different stages of technology research, development, diffusion and transfer).</li> <li>Executive body and MATE.</li> <li>National/regional “excellence centers for technology” – which would promote DD&amp;T, capacity building, innovation and provide access to information.</li> </ul>	New financing mechanism should increase the contracting of technological research in developing countries.  CAPITAL FOR DEMONSTRATION Establish new financing mechanisms and tools for scaling up the development, deployment and transfer of technology, in particular privately owned technology.	Establish new financing mechanisms and tools for scaling up the development, deployment and transfer of technology, in particular privately owned technology.	National/regional “excellence centers for technology” – which would promote DD&T, capacity building, innovation and provide access to information.		<ul style="list-style-type: none"> <li>Consider the removal of barriers to transfer of mitigation and adaptation technologies to developing country Parties.</li> <li>Consider TRIPs as potential model for protecting IP and facilitating technology sharing.</li> </ul>
<b>Canada</b> (May 2009)					Recognizing the critical role of private sector investment, capacity and expertise, all Parties shall undertake national actions to support the development, demonstration, deployment and diffusion of environmentally sound technologies through, inter alia, assessment of technology needs and implementation of supportive legal and policy frameworks.	
<b>China</b> (April 2009)	<ul style="list-style-type: none"> <li>Establish a subsidiary body under COP for Development and Transfer of Technologies with panels for technology needs assessment, information clearinghouse, dialogue and coordination for enabling policies and measures and IPR, management of financial resources for technology deployment, capacity building, and monitoring and assessment of performance.</li> <li>Multilateral Technology Acquisition Fund (MTAF), paid for from developed countries’ fiscal budget for R&amp;D, fiscal revenues from taxation on carbon transaction and/or auction of emission permit in carbon market, and revenues from energy or environmental taxation.</li> <li>Technology needs assessment and development action plans</li> </ul>	Support technology deployment through public-private partnerships by linking public finance with carbon market, capital market and technology market, in order to leverage private finance with public.  MTAF covers full cost of R&D, including via VC	<ul style="list-style-type: none"> <li>Support technology deployment through public private partnership by linking public finance with carbon market, capital market and technology market, in order to leverage private finance with public.</li> <li>MTAF would cover Incremental costs of ESTs to be calculated via BAU cost baselines.</li> <li>MTAF would cover insurance, loan guarantees, or invest via stocks, bonds and other potential financial products.</li> </ul>	MTAF to fund full cost of capacity building - with human resource development as a priority, and also including information service, monitoring and enforcement systems, construction of policy infrastructure	The MTAF shall be used as a catalyst to provide stakeholders with incentives to implement D&T&D of ESTs by means of proper policy instruments, financial instruments/products and investments, including supporting R&D, loan guarantees, direct investment as shareholders and VC, infrastructure investment, and capacity building - developing human resources in particular.	The existing IPR system does not match the increasing needs for accelerating D&T&D of ESTs to meet challenges of climate change. Specific measures should be taken to overcome barriers of D&T&T related to IPR issues

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<b>Colombia</b> (May 2009)	<p>The Technology Mechanism comprises a Multilateral Climate Technology Fund (to provide grants and concessional finance) operating under the authority of the Conference of the Parties and with the Expert Group on Technology Transfer as an advisory body.</p> <p>The EGTT shall define a Technology Action Plan in accordance with the results of countries TNA's to facilitate the development, deployment, diffusion and transfer of technologies identified in TNAs to developing countries under the Convention. EGTT should enhance the TT:Clear to provide and disseminate information of best available technologies and practices for adaptation and mitigation, and to facilitate the involvement of the private sector.</p>					
<b>Costa Rica, El Salvador, Honduras, Nicaragua, Panama</b> (September 2008)	<p>A new system to ensure technology and financial transfer wherein:</p> <ul style="list-style-type: none"> <li>• Developed countries agree to a quota of technological and financial transfer to sustain voluntary mitigation actions in developing countries.</li> <li>• Developing countries establish a list of mitigation options, with costs.</li> <li>• Developed countries bid or select from the developing country proposals and pledge technological and financial support which will be independently verified</li> </ul>					
<b>Cuba</b> (February 2009)	Supports the G77 and China technology & finance proposal			Examples: "know-how, procedures, goods and services and equipment as well as organizational and managerial procedures"		The proposed EB would examine "existing policies, including subsidies and tax regimes and regulations to determine whether they encourage or impede the access to, transfer of, and introduction of, climate change technology"

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EU (April 2009, including "Road to Copenhagen" Communication)	<p>Proposes a coordinating mechanism to assess Low Carbon Development Strategies and NAMAs, match support to actions, and validate both.</p> <p>"Establish a consultative group that brings together government, private sector, civil society and other stakeholders' expertise. This new body should provide strategic guidance for research and technology development and international cooperation drawing on technology needs identified in national low carbon development strategies. It could also provide advice on the course of action with respect to actual barriers to technology diffusion and social uptake of technological innovations."</p> <p>"Recognise the value of establishing and strengthening national and regional centres of technological innovation, and networks between these, to promote technology development and transfer, stimulate capacity-building and improve access to information."</p> <p>Proposals builds mainly on existing institutions, including GEF. Considers that the improvement and the possible reinforcement of existing instruments should be a cornerstone of the international financial architecture, particularly improving coordination. Should recognize all actors/tools (IFIs) with potential to help.</p> <p>-TNAs should be expanded, taking into account the findings of the 2006 TNA review; should be shared and publicly available to all relevant stakeholders within and outside the countries (e.g. through national communications); scope should be expanded to cover also more in-depth assessments of obstacles in the functioning of relevant technology innovation systems, including detailed assessment of technology capacity and markets.</p> <p>-TT:clear and other information libraries would be enhanced and expanded.</p>	<p>Seek to double global energy-related RD&amp;D by 2012 and increase it to four times its current level by 2020, with a significant shift in emphasis towards sustainable, low-GHG technologies, especially renewable energy.</p> <p>For a number of specific key technologies, countries should agree to cooperative joint R&amp;D and largescale demonstration and deployment projects. Such arrangements could enhance ownership of new technologies, in particular intellectual property rights, and to accelerate the deployment and diffusion of advanced technologies, e.g. through technology roadmaps. The IEA's 17 key energy technologies (demand and supply side) could serve as a starting point for discussing such roadmaps, as well as the technologies under the EU's Strategic Energy Technology (SET) Plan.</p> <p>Considered how to strengthen existing international and regional technology initiatives, such as the Carbon Sequestration Leadership Forum, International Hydrogen Partnership.</p> <p>"Strengthen innovation and diffusion systems in developing countries... This could be done through, for example, regional centres."</p>	<p>Public funds should should leverage larger private finance flows and can be employed in a variety of instruments, including pure grants, interest reduction, publicly supported loan facilities and venture capital funds. Support should include project-based programs such as the Global Energy Efficiency and Renewable Energy Fund (GEEREF), providing equity to the innovative private sector in developing countries.</p>	<p>Suggests public grants focus on up-front capacity building. Support should include expert training and best practice guidance, support for designing and implementing domestic policies, including data collection and the provision of technology information.</p> <p>Proposes building on TT:clear to develop a sector-specific technology information platform to collect information on technologies and best practices, including on intellectual property rights and licensing, availability, costs, abatement potentials, and manufacturers of technologies.</p>	<p>Proposes Low Carbon development Strategies (LCDs) for describing NAMAs. Parties should identify barriers to the implementation of actions, including identifying technology needs and identify incremental costs which require financing, technology, or capacity building assistance for implementation, specifying the type of support.</p> <p>"LCDs should also include public policies that assist the creation of enabling environments."</p> <p>Highlights central role for national governments to use regulatory structures and market based incentives to scale-up, redirect and optimize private finance towards the deployment of low-GHG technology. Public finance should leverage private by correcting market failures, addressing costs and risks not met by the carbon market, promoting enabling environments and building capacity to create policies that promote low-carbon and climate resilient growth strategies.</p>	<p>Strong IPR protection encourages RD&amp;D and deployment. "Well established and enforced IPR rules also help technology transfer through increasing the willingness of enterprises to invest and license technology in emerging and developing countries. Countries should explore options to strengthen IPR frameworks to protect and share technology and further strengthening incentives for innovation."</p>

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Ghana (April 2009)	<p>Proposes an incentive mechanism for technology. Parties propose National Technology Authorities and prepare National Mitigation Plans and Technology Action Plans in accordance with their nationally appropriate mitigation actions. Plans are submitted and published on the UNFCCC website (TTClear) for comment. The UNFCCC issues tradable Environmentally Sound Technology Rewards (ESTRs. = 1ton CO2 equiv. See below) based on the final version published on the TTCLEAR. “The UNFCCC issues the number of rewards in the account of the host country and holds them until further guidance by the National Technology Authority of the host country.” Authorized participants (public, private and multilateral) submit project proposals that contribute to the achievement of the Technology Action Plans to the National Technology Authority for approval and allocation of Environmentally Sound Technology rewards to the project.</p> <p>“An independent body verifies the monitoring reports of the project and the National Technology Authority of the host country [and] approves the requests for issuance of rewards by the UNFCCC... An Executive Body for technology development and transfer under the UNFCCC, supported by the Secretariat facilitates the process.”</p> <p>ESTRs: New mitigation unit = 1 t CO2 equivalent. “can be used to meet part of the mitigation/MRV commitments of Parties, as well as for offset of activities. This will attract public and private investments.” “provides a more strategic role for the host country government in the approval process and determination of additionally than in the case of other existing mechanisms and will allow for broader participation of all developing countries.”</p>	<ul style="list-style-type: none"> <li>• Board enacts “strategic programs” for investment in technology that have “high marginal emission reduction costs” in both developing and developed countries.</li> <li>• MTF to provide for joint/colaborative R&amp;D.</li> <li>• MTF covers venture capital for technology demonstration projects.</li> <li>• Funding for MTF should come from Annex II countries, but should also provide incentives for private sector participation.</li> </ul> <p>ESTR trading mechanism will “compliment the EU proposal for a facilitative mechanism for mitigation support and the EU call for scaling up R&amp;D, demonstration projects etc. for all areas where the current carbon market fall short”</p>	<ul style="list-style-type: none"> <li>• Technology D&amp;T board would study how to remove barriers and facilitate cooperation between countries to share lessons</li> <li>• Board would promote market debt and uptake for already cost commercial technologies</li> <li>• MTF “meet full incremental costs”</li> </ul>	<ul style="list-style-type: none"> <li>• Board oversees technology expert panels made up of international experts</li> <li>• MTF supports creating “enabling environments” and “endogenous capacities and technologies”</li> </ul>	<ul style="list-style-type: none"> <li>• MTF support for enabling environments</li> <li>• Provide guidance for national legislations, regulations, policies, standards and codes, and enforcement and coordination mechanisms to provide greater certainty to private sector investment</li> </ul>	<ul style="list-style-type: none"> <li>• MTF to cover licenses and cost to transfer technology knowledge</li> <li>• Provide incentives for private investment in transfer.</li> <li>• “Ensure protection of intellectual property rights that guarantees access to and use of technologies by avoiding over-protectionism”</li> <li>• Open access to information (especially costs and performances of technology)</li> </ul>

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<b>Guyana</b> (April 2009)	Calls for “a new subsidiary body on technology transfer under the Convention, which would include a strategic planning committee, technical panels focused on different sectors whilst at the same time, maximizing use of existing institutions.” Also seeks “the establishment of regional technology centres and networks, enhancement of existing ones or a combination of both.”		Calls for “a register of available technologies and how to access and utilize them.”			Believes that “intellectual property rights should not be a fundamental obstacle for fulfilling developed countries’ commitments on technology transfer.” Calls for greater access and affordability of technologies without compromising incentives for innovation, suggesting “the transfer of publicly owned technologies for mutual and global benefit. Options explored include: pooling and sharing publicly funded technologies; making the technologies available in the public domain at affordable price and promoting joint R&D activities with developing countries.”
<b>Iceland</b> (April 2009)	“Reforming and making efficient use of current institutional arrangements is essential, before any plans are made for establishing new mechanisms.”	“The most efficient way of achieving effective and comprehensive technology collaboration with emphasis on cooperative research, development and innovation, is to engage the private sector and encourage cooperative partnership between governments and industries. Most nations are already engaged in a variety of multinational R&D collaboration which forms a sound base for further cooperation with the objective of ensuring effective deployment, diffusion and transfer of technology. Reforming and making efficient use of current institutional arrangements is essential, before any plans are made for establishing new mechanisms.”	“Taking advantage of the flexibility of the carbon markets and trading systems will leverage maximum private sector participation and thus accelerate constructive developments.”	“Small and medium size enterprises (SMEs) ... are the main creators of new jobs and thus could play a vital role for the success of the adaptation and mitigation efforts. The institutional structure needs to be aware of the particular needs of SMEs, including minimal bureaucracy and efficiency at all levels of administration.”		

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India (April 2009)	<p>Call for establishing a “new, multilateral financial architecture for climate change” that treats financing as “entitlement not aid.” Call for a “balanced governance structure” that takes decisions with “concurrence of the “beneficiary Party” and has “no scope for unilateral determination by the assesseees (developed country Parties) of which developing country Parties may be funded, or the extent (quantum) of funding required, or the funding modality (project, program, budgetary contribution).” This governance structure would enable “procurement norms” that are “competitive in terms of technical capability and cost.”</p> <p>Request annual contributions equal to 0.5% of the total GDP of the developed world for funding adaptation and mitigation through resource transfers or grants.</p> <p>Executive Board of Technology, elected by COP and supported by a new branch of the UNFCCC Secretariat, shall develop strategy and technology action plans, and monitor the implementation of specific operational policies, guidelines and administrative arrangements, including the disbursement of resources... taking into account, the cost-effectiveness of the proposed activities, as well as the potential for their replicability, and the cost-sharing by project beneficiaries.”</p> <p>“A professional secretariat and appropriate technical committees that establish eligibility, evaluation and compliance criteria, in conformance with the Convention, would assist the Executive Board.”</p> <ul style="list-style-type: none"> <li>• Supports G77 position - Proposed Technology Mechanism comprises an Executive Body and MCTF operating under the COP.</li> </ul> <p>“The financial mechanism shall have separate windows for funding projects, programmes and activities aimed at mitigation and adaptation and technology cooperation ... assisted by a dedicated team of experts (thematic assessment unit) to carry out the relevant assessments for disbursement to the designated national funding entities of the developing country Parties.” Technology Fund should be a window of the financial mechanism under the UNFCCC, and the Secretariat will decide its policies.</p>	<ul style="list-style-type: none"> <li>• Proposes that the Financial Mechanism has a funding “vertical” for Collaborative Climate Research Fund (a special fund under the umbrella mechanism, one of several which have quite different roles, only unified by their governance and placement under control of the COP).</li> <li>• Executive body work plan begins with Technology Action Plans supporting all stages of the technology cycle, including accelerating research and innovation.</li> <li>• Full costs for research, development and demonstration of new adaptation and mitigation technologies will be covered</li> </ul> <p>CAPITAL FOR DEMONSTRATION</p> <p>Proposes a Venture Capital Fund for emerging climate technologies. MCTF would help with:</p> <ul style="list-style-type: none"> <li>• “Venture capital, with public investment leveraging private capital markets for emerging technologies;</li> <li>• Research, development, and demonstration of new technologies, financed by venture capital and other sources.</li> </ul>	<p>Suggest that full incremental costs of technology deployment (capital and lifetime) should be covered by AIs in full, by grants, while the base costs of economic and social development can be funded by a range of current or new financial instruments offered by bilateral, multilateral or domestic/foreign market sources, including traditional equity and loan investments, concessional loans, loan guarantees or other risk mitigation structures, and a range of funds for acquisition, development, deployment and diffusion of technologies. Executive body work plan begins with Technology Action Plans supporting all stages of the technology cycle, including ensuring finance for technology transfer.</p> <p>Fund should cover full cost of “guarantees on foreign direct investment for adaptation and mitigation technologies”</p> <p>Full costs of technology for stand alone adaptation projects should be covered.</p>	<p>Funding to support full cost of capacity building for research, development, and demonstration of new technologies, enhancing human capital and absorptive capacity.</p>	<p>CB for creating enabling environments.</p>	<ul style="list-style-type: none"> <li>• Propose “vertical” funds including a Technology Acquisition and Technology Transfer Fund.</li> </ul> <p>India’s shared vision includes the “promotion of technology development, diffusion and transfer by operating the intellectual property rights regime in a manner that encourages development of climate - friendly technologies and simultaneously facilitates their diffusion and transfer to developing countries”</p> <p>Fund should cover full incremental cost of creating manufacturing facilities, including technology procurement (compulsory licensing, cost of patents, designs, and royalties); cost of conversion of existing manufacturing facilities or of establishing new facilities (including premature modification or of replacement of existing equipment, as well as the cost of new equipment); cost of research and development activities (including joint RD&amp;D); cost of technology adaptation; cost of retraining and dissemination of know-how (including technical assistance for design, installation, and stable operation of the technology); operational costs (including fuel); and cost of monitoring and verification.</p>

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Indonesia (April 2009)		<p>“The transfer of technology should be based on the following principles:            * Equal opportunities for all Parties to collaborate on technology transfer programs            * Transparent and mutually benefitting partnerships between public and private sectors”            * Ensuring active participation of Small and Medium-sized Enterprises (SMEs)            * Ensuring that IPRs shall not be used as a barrier to the transfer technology activities”</p> <p>Points out that in Article 4.3 of UNFCCC, level of mitigation by developing countries depends on several types of support, including development.</p> <p>Joint research projects among the Parties should be encouraged involving governments, enterprises, institutes and universities, can speed the solution of common problems facing the Parties.</p>	<p>Points out that in Article 4.7 of UNFCCC, level of mitigation by developing countries depends on several types of support, including diffusion and transfer.</p>	<p>Technology information flows and actual technology flows should provide direct and tangible benefits to Parties through the enhancement of capacity building, technical know-how, as well as furthering TT through private/business activities.            - Requires long term partnerships in technology cooperation with systematic training and capacity-building at all levels over an extended period of time.</p> <p>Sees sectoral approaches as an opportunity to gain access to BAT/BP and to strengthen Party cooperation on technology and finance</p>	<p>Technology transfer should be based on transparent and mutually benefitting partnerships between public and private sectors, ensuring active participation of Small and Medium-sized Enterprises (SMEs)</p>	<p>Need to ensure that intellectual property rights are not used as a barrier to the transfer technology activities.</p> <p>“There is a need to secure access of the developing countries to patented technologies as well as those in the public domain.” Substantial consideration must be given in dealing with patent protection and intellectual property rights.</p> <p>Technological information and technology flows should provide direct and tangible benefits to Parties through the enhancement of capacity building, technical know-how as well as furthering the transfer of technology and improving private/business sector exchanges in technology cooperation.</p>

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Country	Institutions	R&D	Deployment of Existing Techs	Capacity Building	National Regulatory Framework	Transfer/IPR
Japan (April 2009)	<p>Sectoral sub-groups should be established with participation of private sectors to examine necessary assistance measures through sharing information on progress of technology transfer, analyzing reduction potentials, and creating achievement indices as well as making assessment in a quantitative manner. A group for sectoral technology cooperation, with the participation of public and private experts, should be established under the UNFCCC in order to promote the transfer and diffusion of technologies.</p> <p>The main areas to be covered by the group are as follows:</p> <ul style="list-style-type: none"> <li>- Identification of effective technologies</li> <li>- Analyses of the current situation of technology transfer and diffusion (evaluation of efforts by each developing country)</li> <li>- Analysis of barriers to technology transfer</li> <li>- Identification of measures to accelerate technology transfer (actions to be taken by the public and private sectors in both the supply and demand sides)</li> <li>- Review of the results of these measures (to guarantee a direct link to the actual MRV actions)</li> </ul> <p>Sectoral intensity targets could serve as MRV mitigation actions</p>	<p>A1 and those NA1 who wish to participate should do more international technology R&amp;D, sharing technology roadmaps</p>	<p>Consider how to promote private loans for technology inducement and investments related to emissions intensity and sectors. Consider labeling. Sectoral approaches promote mitigation by developing countries through diffusion and transfer of the best available technologies (BATs) and practices.</p>	<p>Parties should “cooperate in sharing information and data, and in capacity building to assist, where necessary, developing country Parties in developing national action plans”</p> <p>Cooperate in and promote at the international level, and, where appropriate, using existing bodies, the development and implementation of education and training programmes, including the strengthening of national capacity building, in particular human and institutional capacities and the exchange or secondment of personnel to train experts in this field, in particular for developing countries, and facilitate at the national level public awareness of, and public access to information on, climate change.”</p>		<p>Need to strengthen IPR in developing countries.”Enhancing the enabling environment for businesses in host countries including development of legal systems and intellectual property protection is crucial”</p>
Lebanon (February 2009)	<p>Support G77 + China technology and finance proposal</p>					

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Country	Institutions	R&D	Deployment of Existing Techs	Capacity Building	National Regulatory Framework	Transfer/IPR
Least Developed Countries (LDCs)  (April 2009 - by Lesotho) (September 2009)	<p>Propose a Technology Action Framework, supported by a Technology Institutional Framework to promote low carbon growth, for mitigation and adaptation. The framework will cover existing and future mitigation and adaptation technologies (including an inventory of existing adaptation technologies).</p> <p>Technology framework consist of:</p> <ul style="list-style-type: none"> <li>• Technology Committee (with strengthened Secretariate) to advise the COP and oversee implementation of development and transfer of technologies</li> <li>• Technology Panel</li> <li>• Financial mechanism to support development and transfer of technologies. Under control of the COP</li> </ul> <p>“Technology Committee shall approve hiring of Technology Panel experts...functions of the Technology Panel will include:</p> <ul style="list-style-type: none"> <li>• Advises the Technology Committee on development and transfer of technologies;</li> <li>• Develops draft procedures and modalities for development and transfer of technologies</li> <li>• Identifies and compiles emerging technologies, including their state of development and advise the Technology Committee on appropriate line of action; and</li> <li>• Reviews request for funding technologies, including development of technologies from developing countries and advise the Technology Committee.”</li> </ul> <p>“Enhancement and reform, to the extent practicable, of existing institutions must be given serious considerations in the design of the financial architecture for financial mechanism(s).”</p>	<p>“Research, development and production of future mitigation technologies, including appropriate REDD technologies, through cooperation with private sector, identified and selected through open and transparent competitive international bidding process”</p> <p>“Encourage and promote south to south technology development and cooperation;</p> <ul style="list-style-type: none"> <li>• Diffuse such emerging technologies at non-commercial rates;</li> <li>• Stimulate research into future technologies through public funding;”</li> </ul> <p>For adaptation technology,</p> <ul style="list-style-type: none"> <li>• “Encourage and promote south to south technology development and cooperation;</li> <li>• Promote wide diffusion of emerging adaptation technologies in similar climates; and</li> <li>• Promote cooperation among research and development activities among developing countries.”</li> </ul>	<p>“Promote wide diffusion of existing mitigation technologies including energy efficiency and renewable technologies at a scale similar to the information communication technologies (ICT). Strong and bold decisions are needed to realize this”</p> <p>“Undertake an inventory of existing adaptation technologies, including its state of current production”</p>	<p>“Facilitate capacity building as an integral part of technology transfer through provision of financial resources”</p>	<p>“Create conducive environment to promote partnership with the private sector to undertake the above actions.”</p>	<p>IPR</p> <p>“Support licensing of privately own technologies”</p> <p>“While the major developing countries have capacity to adapt technologies, LDCs and others will simply use these technologies as Black Boxes and therefore issues of intellectual property rights are of less significance. It is therefore important to recognize the difference and therefore design a mechanism, which provides for each category.”</p> <p>“Intellectual property rights should not and must not be an excuse [for not] fulfilling commitments under the Convention. Developed country Parties must address the issue of intellectual property rights in the context of complying with their commitments.”</p>

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Country	Institutions	R&D	Deployment of Existing Techs	Capacity Building	National Regulatory Framework	Transfer/IPR
<b>Mexico</b> (August 2008)	<ul style="list-style-type: none"> <li>World Climate Change Fund (Green Fund) under the UNFCCC for mitigation, adaptation, and technology transfer and diffusion.</li> <li>COP issues guidelines on what it is to fund and prioritize.</li> <li>A levy on contributions to the overall Fund would go toward two smaller funds: an Adaptation Fund and a Clean Technology Fund.</li> </ul>	<p>Clean Tech Fund (within the WCCF - raised by a levy on all contributions) would promote “transfer and development, demonstration and dissemination of technologies that are close to acquiring commercial status.”</p> <p>CAPITAL FOR DEMONSTRATION Clean Technology Fund (within the WCCF - raised by a levy on all contributions) would promote “transfer and development, demonstration and dissemination of technologies that are close to acquiring commercial status.</p>	Eligible activities for the Green Fund include increased efficiency, including more efficient non-renewable power generation, promotion of renewable power, CCS deployment, green building, and introduction of low-emissions vehicles, among others.	Clean Tech Fund (within the WCCF - raised by a levy on all contributions) would fund technical assistance for project preparation.		
<b>New Zealand</b> (May 2009)	<ul style="list-style-type: none"> <li>Open to “proposed new financing options and mechanisms” for “effective financing,” but “has a strong preference to avoid unnecessarily creating new funds and/or mechanisms. Problems with existing mechanisms should be addressed before adding new ones.</li> <li>Suggests building on UNFCCC and also considering inclusion of work outside UNFCCC.</li> </ul>	<ul style="list-style-type: none"> <li>Welcomes discussion and encourages scaled-up international cooperation on R&amp;D in key sectors with large mitigation potential and where knowledge gaps exist.</li> <li>Agriculture is a critical sector for R&amp;D</li> </ul>			<ul style="list-style-type: none"> <li>Encourages broad definition of “technology” to include “soft technology” (i.e. information and knowledge).</li> <li>Regulate competitive environment with carbon price signals and the elimination of “environmentally harmful subsidies”</li> </ul>	

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Country	Institutions	R&D	Deployment of Existing Techs	Capacity Building	National Regulatory Framework	Transfer/IPR
<b>Nicaragua</b> on Behalf of Guatemala, Dominican Republic, Honduras, Panama and Nicaragua (April 2009)	<p>“Technology facilitative mechanism to address all aspects related to cooperation on research and development (R&amp;D), diffusion and transfer of technologies for adaptation and mitigation which might be suitable for local conditions; and the establishment of a Multilateral Climate Technology Fund (MCTF).”</p> <p>“The technology facilitative mechanism should operate within the framework of a short-term plan of action, including a schedule, responsibilities and sources of finance, and will cover a wide range of activities associated with the three-steps technological cycle, namely: R&amp;D, diffusion – including pilot projects – and transfer of technologies. This mechanism should have an expert panel on technologies for adaptation and mitigation to facilitate technology cooperation, which should be organized by sectors, systems, sources, functions or types of actors, as appropriate.”</p> <p>“Creation of regional centres for technological innovation for mitigation and adaptation”</p> <p>“Technology needs assessments (TNA) should be carried out within the framework of the national adaptation programmes of action (NAPAs) and the nationally appropriate mitigation actions (NAMAs) in the national context of sustainable development in developing countries.”</p>	<p>The “technology facilitative mechanism” should “address all aspects related to cooperation on research and development (R&amp;D), diffusion and transfer of technologies for adaptation and mitigation which might be suitable for local conditions”</p>	<p>“The MCTF shall cover ... support for the removal of barriers, enabling environments, training and the acquisition of technologies, systems and tools.”</p>	<p>“Technology transfer should be enhanced with technical and financial support for capacity building at the national level, including enabling environments. In this area measures to strengthen governments, companies and workers should be included. Capacity building should include regulatory frameworks as well as public awareness raising and training, access to information and finance for small and mediumsized companies.”</p>	<p>Parties should work to develop “legal frameworks and public adaptation policies”</p> <p>“It is important to recognize the fundamental role played by private investments in the technology transfer phase, requiring national policies that promote enabling environments and relevant human and institutional capacities for the whole technological cycle.”</p>	<p>“Technology cooperation should include... support for technology acquisition, including the purchase of or the access to the use of patents through flexibility options.”</p>
<b>Norway</b> (April 2009)	<p>Establishes a framework that welcomes, promotes and contributes to funding research, innovation and implementation of all technologies that contribute to reducing emissions. Possible support for South Africa’s proposal for a voluntary registry of NAMAs, and also suggest the possibility of a registry for information sharing.</p> <p>The Norwegian Proposal on auctioning allowances issued under the Copenhagen Agreement is designed to raise resources for adaptation and capacity building in particular, and could potentially support REDD. Technology is not mentioned.</p>	<p>International joint R&amp;D, including international centres and demonstration programmes, which “should have their main financial and institutional basis in the partner countries”</p>		<p>Registry for “information on needs for technology, capacity building, costs and emission reduction potentials.”</p>		

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Country	Institutions	R&D	Deployment of Existing Techs	Capacity Building	National Regulatory Framework	Transfer/IPR
Pakistan (December 2008)						International agreement on compulsory licensing for EST “along the lines of that undertaken in the health sector”  Proposes “limited time patents” and “incentives (tax exemption, subsidies etc.) for the owner of the technology for differential pricing”.
Panama, Paraguay and El Salvador (May 2009)	<p>“Regional centers addressing technologies on a regional basis should be created to help improve capacity, practices and processes as well as the technologies themselves thus fulfilling the need to enhance the capacity of developing countries to stimulate and expand endogenous technologies.”</p> <p>“National and international programs shall be developed to address technology cooperation and the needs at the required scale. They shall combine both national and international actions, and link domestic policies and incentives with carbon finance and other innovative financial mechanisms. Programs will operate under NAMAs and/or NAPAs, and be identified through coordinated TNAs by regions. They will help in developing, deploying and transferring technologies adequate to regional needs. These programs shall operate hand in hand with regional centers and support and provide incentive for the creation of technology research entities in key sectors. These should consider how different policies, measures and actions can help creating a environment where intermediate and other adequate technologies help avoid emissions and facilitate adaptation capacity.”</p> <p>Developing countries shall consider and encourage the development of NAPA-like and TNA-like assessments. The secretariat could compile regional technological needs, as defined by countries within a region, suggesting areas where technologies could be aggregated to deliver economies of scale, and addressing the issues of scale and urgency, for both mitigation and adaptation.</p>	<p>“National and international programs... shall operate hand in hand with regional centers and support and provide incentive for the creation of technology research entities in key sectors.”</p>		<p>“Regional centers addressing technologies on a regional basis should be created to help improve capacity, practices and processes as well as the technologies themselves thus fulfilling the need to enhance the capacity of developing countries to stimulate and expand endogenous technologies.”</p>	<p>“National and international programs shall be developed to address technology cooperation and the needs at the required scale. They shall combine both national and international actions, and link domestic policies and incentives with carbon finance and other innovative financial mechanisms.”</p> <p>“These [programs] should consider how different policies, measures and actions can help creating a environment where intermediate and other adequate technologies help avoid emissions and facilitate adaptation capacity.”</p>	

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Country	Institutions	R&D	Deployment of Existing Techs	Capacity Building	National Regulatory Framework	Transfer/IPR
Philippines (May 2009)			“Priorities for technological cooperation should be...sharing, exchange and diffusion of climate-friendly technologies, especially those that are already available and adopted by local communities.”		“NAMAs should... promote and remove financial, legal and technical barriers to the use and development of renewable energy”	IPR “COP shall work for the exclusion from patent protection of ESTs in view of the emergency nature of the impacts of climate change; and encourage countries to exercise and strengthen the flexibilities in TRIPS under the WTO, such as compulsory licensing”
Qatar (April 2009)	Supports the G77 & China proposal on the establishment of a new financial mechanism under the COP and for an executive body for Technology.					
Saudi Arabia (April 2009)	“There is a need for a new institutional body under the COP to address all issues related to technology research, development, transfer, and diffusion, as well as capacity building for the different technologies.”  Support G77 + China technology and finance proposals  “A Technology Action Plan that provides a kick start for all the [technology transfer] efforts”	“Promotion of cooperation in the technological development of clean fossil fuels, and non-energy uses of fossil fuels (such as petrochemicals).”	“A Technology Action Plan that provides a kick start for all the efforts, identifying key technologies and specifying means to facilitate their transfer within an agreed timeframe is crucial for the success of enhanced technology transfer efforts.”	New institutional body under the COP could “provide access to technologies for adaptation and mitigation enabled by capacity building and know-how”		“Barriers to technology transfer (such as high costs and intellectual property rights) must be addressed through various measures (such as compulsory licensing and preferential pricing). This needs to be incorporated in the new technology body.”
South Africa (December 2008)	Supports G77 + China technology and finance proposals • Proposes new registry of NAMAs including voluntarily proposed projects and cites that existing FCCC provides for finance/technology support of voluntary projects submitted to Convention (Art 12.4). • MRV financial and technology transfer support across all of the innovation cycle is important • Expert input, possible an expert group, may be required to help quantify the results of SD-PAMs/ NAMAs • Might engage SBSTA on developing methodologies to MRV the sustainable development benefits of SD-PAMs. SMI on reporting  Propose establishing a “national coordinating body”	Technology development, application and diffusion, including transfer, should be supported across the technology life-cycle, including support in the form of different categories of costs (full, incremental).	Proposed actions could be individual projects, programs, or national plans, such as: • SDPAMs • REDD • no lose targets • programmatic CDM	“The national coordinating body will be established to build institutional capacity in developing countries.	MRV finance and tech transfer should support for the practices and processes to enhance the absorptive capacity for technologies in developing countries.  NAMAs can include national plans or programs.	Transfer should be supported.

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Country	Institutions	R&D	Deployment of Existing Techs	Capacity Building	National Regulatory Framework	Transfer/IPR
<p><b>South Korea</b> (February 2009) (April 2009)</p>	<ul style="list-style-type: none"> <li>Proposes creation of a registry of NAMAs. Actions voluntary and non-binding.</li> <li>“The Registry of NAMAs could serve as a basis of institutional framework of recognizing domestic actions of developing countries as international mitigation actions in the Post-2012 climate regime.”</li> <li>NAMAs would be financed with carbon credits, and propose that a “certain portion of the carbon credit is discounted and retired from the global carbon market”</li> <li>Agree on principle to finance with carbon credits at COP15, then sort out details later.</li> </ul>		<ul style="list-style-type: none"> <li>Mitigation actions would be financed via carbon markets.</li> <li>“Carbon credit for NAMAs will engage private sector to play an active role. Carbon credit could provide incentives for investment in mitigation projects in developing countries.”</li> </ul>	<p>“Developed country Parties need to provide developing country Parties with a roadmap for low carbon development which includes appropriate policy tools and necessary support to enable them to pursue greenhouse gas emission reduction and economic development at the same time.”</p>		<p>“If Parties agree to recognize carbon credit for the verifiable mitigation from NAMAs, developing countries could have a sustainable source of financial resources and technology transfer.” (believes that carbon credits would engage private sector and pay for transfer of clean technologies)</p>
<p><b>Switzerland</b> (November 2008)</p>	<p>Willing to explore baseline &amp; credit OR sectoral no-lose intensity targets.</p> <p>(see proposed matrix of targets for developed and developing countries)</p>			<p>Needed in bottom-up scenarios, (e.g. sectoral no-lose targets (SNLT) and baseline credit system) to help bulk up government capacity to regulate and design programs.</p>		

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Country	Institutions	R&D	Deployment of Existing Techs	Capacity Building	National Regulatory Framework	Transfer/IPR
Turkey (April 2009)	Proposes “a new technology transfer mechanism financed by a fund/body under the Convention should be formed with contributions of Annex II countries as per Article 4, paragraphs 3, 4 and 5 of the UNFCCC... Assistance received from TTM should be given according to the criteria of Parties’ level of development as well as their emissions reduction, limitation and adaptation potentials and their absorption capacities (human capital, depth of domestic market, establishing an externality potential) and should be established as a reduction credits system in order to make technology transfer bilateral.”	States that both public and private investment in technology development is essential, and that this financing could be incentivized with mechanisms such as concessionary loans, export loans or tax incentives, and “should be tailored to the needs of all Non-Annex II Parties of the Convention.”	“Cooperation between the UNFCCC and the World Trade Organization would be beneficial in benefiting from scale economies and liberalizing the trade of climate-friendly goods and services (or environmental goods and services).”	Should create a “global data pool” and an “easily accessible technological information system” that would have a registry of all BAT and Best Environmental Practices  Also propose that there should be “workshops and roundtable discussions on innovative financing and enabling environments for successful technology cooperation. Topics to include: -Better use of existing financial instruments, - A wider process of technology CB in developing countries, - Dissemination of expertise in determining the cost-effectiveness of technology options, - Enhance the participation of developing countries in international technology cooperation, - Raise awareness of successful examples of technology cooperation and partnerships with effective private sector participation, [private sector] should play an active role in this process.		Call for a new “technology transfer mechanism,” a new “technological information transfer agreement,” and a “technological information system” that would include “information on intellectual property rights and licensing, state of availability, applicable costs and GHG gas emissions reduction efficiency potentials”  “Cooperation in the field of technology should not only be limited to technology transfer, but also should ensure the spread of technological information, experience and know-how by guaranteeing relevant costs and Intellectual and Industrial Property Rights. In this context, apart from a TTM, Turkey also recommends a type of “Technological Information Transfer Agreement/Multiple Agreements”. Such an agreement or multiple agreements will be able to introduce a structure that will facilitate the spread of environment-friendly products and healthy and reliable agricultural production systems.”

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Country	Institutions	R&D	Deployment of Existing Techs	Capacity Building	National Regulatory Framework	Transfer/IPR
<b>Tuvalu</b> (May 2009)	<p>Establish a Multilateral Fund for Climate Change with five funding windows, including a Technology Window. Board of the Multilateral Fund for Climate Change shall establish technical advisory panels for each of the funding windows to support the Board in identifying sources of funding and spending priorities and to support recipient countries in developing project proposals.</p> <p>Establish a Technology Development and Transfer Facility, under COP, supervised by a Board, advised by EGTT, to assist developing country Parties to identify and help facilitate the transfer of low greenhouse gas emitting technologies, particularly renewable energy and energy efficiency technologies, to assist in the undertaking of national appropriate mitigation actions. The Facility shall also particularly vulnerable developing countries to identify and help facilitate the transfer of appropriate adaptation technologies.”</p> <p>“Developing country nationally appropriate mitigation actions shall incorporate the development and diffusion of low greenhouse emitting technologies, particularly renewable energy and energy efficiency technologies”</p>		<p>Establish “an international renewable energy and energy efficiency bond mechanism...to provide developing country Parties with interest-free loans for financing the development and deployment of renewable energy and energy efficiency technologies.” This mechanism will be funded by the Technology Window of the Multilateral Fund on Climate Change. A commission, reporting to the Technology Development and Transfer Facility, will be established to issue the bonds, loans, and interest payments.</p>	<p>Establish Cooperative Technology Development Centres in major developing country regions, funded by the Technology Window of the Multilateral Fund on Climate Change, to provide cooperative training for participants from all countries and development facilities supported by public-private partnerships to develop and deploy renewable energy and energy efficiency technologies and environmentally sound adaptation technologies.</p>	<p>“All Parties shall ensure that interest payments made through the renewable energy and energy efficiency bond mechanism will be tax free within their domestic jurisdiction.”</p> <p>“Each Party, to the extent feasible, shall also develop a system of national renewable energy and energy efficiency bonds to complement the international system.”</p>	<p>“Parties shall cooperate to significantly reduce or remove tariff barriers to the import and export of renewable energy and energy efficiency technologies as well as environmentally sound adaptation technologies. Parties shall cooperate to develop and deploy patent sharing and/or intellectual property free renewable energy and energy efficiency technologies.”</p>
<b>Uruguay</b> (April 2009)	<p>“Subnational partnerships and networks of the regions to promote capacity building and information sharing”</p>	<p>“Promote global cooperation on research and development of mitigation technologies for the agriculture sector, recognizing the necessity for international cooperative action to enhance mitigation of GHG emissions from agriculture”</p>		<p>“Support and encourage further development of subnational partnerships and networks of the regions to promote capacity building and information sharing, including best practices in land-use planning, forest and agricultural land management, inter-modal transport, green public procurement, renewable energy, energy efficiency, joint research and deployment of climate friendly technologies.”</p>	<p>“Recognize the important contribution of states and regional governments in pioneering policies and taking early action in the aforementioned areas and the need to continue this critical role for developing and putting into practice the general measures established by the national governments.”</p>	<p>“specifically establish mechanisms to enable the transfer and financing of these technologies to the developing countries in order to enable developing countries to implement nationally appropriate mitigation actions in the agriculture sector”</p>

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Country	Institutions	R&D	Deployment of Existing Techs	Capacity Building	National Regulatory Framework	Transfer/IPR
<p><b>USA</b> (April 2009)</p> <p>Does not include submissions from previous administration</p>	<p>“The Conference of the Parties should consider whether there is a need for additional institutional arrangements, noting that any new arrangements should be consistent with:</p> <ul style="list-style-type: none"> <li>- the need for effectiveness, efficiency, and transparency;</li> <li>- cooperation, where appropriate, on a regional basis to coordinate efforts;</li> <li>- making use of existing national platforms, such as those for the Hyogo Framework;</li> <li>- flexibility in addressing adaptation and encourage a learning-by-doing approach; and</li> <li>- encouragement of international organizations and institutions to support (through their programs on, inter alia, financial cooperation, capacity-building and institution-strengthening mechanisms) the integration of adaptation into development plans, programs, and priorities.”</li> </ul>	<p>Agreement should include:</p> <p>“Provisions on cooperative action to promote the development, deployment, and diffusion of environmentally sound technologies”</p> <p>“provisions to promote greater public and private sector investments in technology research, development, and deployment”</p> <p>“Provide information on opportunities for R&amp;D technologies which offer the largest potential for reducing GHG emissions, and to facilitate and foster collaborative arrangements”</p>	<p>Agreement should include:</p> <p>“Provisions on cooperative action to promote the development, deployment, and diffusion of environmentally sound technologies”</p> <p>“provisions to promote greater public and private sector investments in technology research, development, and deployment”</p>	<p>Agreement should:</p> <p>“Promote access to appropriate technologies, knowledge and expertise to address adaptation, in particular for least developed countries, including by creating enabling environments for the successful adoption of such technologies.”</p>	<p>Agreement should include:</p> <p>“Provisions on national actions to promote the development, deployment, and diffusion of environmentally sound technologies, including actions to promote favorable legal and policy frameworks”</p> <p>“Parties should...</p> <ul style="list-style-type: none"> <li>- promote the full range of available management tools and financing options in implementing local, national or regional program of action, including innovative managerial and financial techniques...</li> <li>- promote access to appropriate technologies, knowledge and expertise to address adaptation, in particular for least developed countries, including by creating enabling environments for the successful adoption of such technologies.”</li> </ul>	<p>“Protection of IPR by countries is an essential component of an overall strategy to promote technology innovation, diffusion and transfer”</p>
<p><b>Uzbekistan</b> (April 2009)</p>	<p>“Additional institutional frameworks...for the development and subsequent adaptation of NAMA and NAPA in developing countries and countries with economies in transition”</p> <p>“Central Asian countries support the opinion of the countries of EC in regard that the agreement for the period after 2012 should include the mechanisms of encouragement related to the three different stages of the life-circle cycle of technologies”</p> <p>“For the promotion of ecologically sound technologies it is necessary to use program approach and to include the issues of technologies to the development of NAMA and NAPA”.</p>			<p>“Establish the additional institutional frameworks, [for development of NAMAs and NAPAs] including training of experts, mastering the methods and tools of economical analysis of adaptation and mitigation”</p>		

## SECTION VI. PARTY PRESENTATIONS ON THE ARCHITECTURE OF AN AGREEMENT

Please note that this table does not summarize official Party submissions to the UNFCCC. Rather, it summarizes party presentations at the UNFCCC Architecture Workshop on August 7, 2009 in Bonn.

COUNTRY	LEGAL ISSUES	SHARED VISION	ADAPTATION	MRV	FINANCE
<b>Australia</b>	<p>“To establish a durable legal architecture that delivers a strong environmental outcome”</p> <p>National schedules through 2050 established for all participants (should be flexible, durable, and certain)</p> <p>Schedules coexist with Low Emission Development Strategies. Low Emission Development Strategies include mitigation and adaptation.</p>			Schedules include unilateral, supported, and credited actions. Schedules include commitments and actions.	Low-emission development strategies; registry and facilitative platform to identify and finance proposed actions seeking support
<b>EU</b>	<p>A legal architecture that follows substance</p> <p>Outcome should be: legally binding, build upon current architecture with a robust MRV system, and be comprehensive</p>	<p>Long-term goal of 2 degrees C, reducing global emissions to 50% of 1990 levels by 2050;</p> <p>Developed countries: QELROS, 30% of 1990 by 2020;</p> <p>Developing countries: NAMAs included in LCDS, 15-30% of 2050 by 2020, identify technology needs and barriers</p>	<p>Roles and responsibilities for all parties (developed and developing); integration of adaptation into development; take into account urgent needs of most vulnerable; facilitate monitoring and review; facilitate support and action</p>	<p>Comparability of mitigation efforts using multiple criteria, including capability and responsibility.</p> <p>Developed countries: Build on KP</p> <p>Developing countries: annual inventories, domestic reporting following int'l guidelines, international verification. NAMAs in LCDS; specify whether NAMAs are autonomous, require support, or carbon market.</p>	Sectoral Crediting Mechanism; Sectoral Trading
<b>Japan</b>	<p>Adoption of a new single protocol</p> <p>The protocol includes revised annexes.</p>	<p>At least 50% reductions by 2050, peaking of global emissions in next 10-20 years, development of innovative technologies</p> <p>All: implement policies in accordance with national circumstances</p> <p>Developed: commitment to QELROs in assigned amounts</p> <p>Developing: national action plans as part of NAMAs, should take mitigation actions as described in Annex C</p>	<p>CMP identifies most vulnerable countries; NAPAs prioritize actions requiring assistance; increased information flow; increased support from developed countries</p>	All Annex I and major developing countries should submit annual inventories which will be reviewed by expert review teams for compliance.	Developed countries shall provide new and additional funding for implementation costs
<b>Korea, Republic of</b>	<p>Evolution of climate regime, creation of international registry for NAMAs</p> <p>International registry for NAMAs to keep track of them, match NAMAs with support and MRV action and support</p>	<p>Developed: Historical responsibilities for past 150 years, absolute reductions to stay at 2 degrees warming</p> <p>Developing: Responsibilities only for recent decades, voluntary reductions based on capabilities</p>		<p>International registry for NAMAs; different types of NAMAs with different levels of MRV: unilateral NAMAs, NAMAs with support, &amp; NAMAs for carbon credits. Unilateral NAMAs MRVed by domestic entities, later by a third party. Registration of NAMAs is voluntary.</p>	<p>Carbon credits for NAMAs, enhanced CDM, discounting of carbon credits for developing countries</p> <p>Registry to link actions to support.</p>

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COUNTRY	LEGAL ISSUES	SHARED VISION	ADAPTATION	MRV	FINANCE
<b>South Africa</b>	<p>Two-track approach: one based on the Convention and one based on Kyoto, legal instrument linking the two Outcomes should be legally binding.</p> <p>Comprehensive programs on adaptation, mitigation, MRV, finance, technology, capacity building</p> <p>3 sections under mitigation: (1) for A1 countries, (2) for NA1 countries, (3) risk management measures</p>	<p>Annex 1: Quantified Emission reduction commitments; technical panel on comparability Non-Annex 1: Annually-Updated Register of NAMAs; Assessment by NAMA Technical Panel</p> <p>Decision of the shared vision linking the KP &amp; Convention legal instrument.</p>	<p>Research; early warning systems; risk management; climate resilience; adaptation panel/committee</p>	<p>GHG inventories every 2-3 years Supported NAMAs in a register. NAMAs in tons of CO2 equivalent relative to baseline Nat Comms for unilateral and supported actions and support</p> <p>Verification of unilateral actions in Nat Comms, of supported NAMAs and support through Technical Panel.</p> <p>Technical Panel to assess NAMAs, support, and trigger matching of the two.</p> <p>Capacity building for institutional structure, National Climate Change Coordinating Bodies.</p>	<p>Sources of finance: Annex 1 contributions, CO2 market, voluntary contributions; should total 1% of global GDP by 2020</p>
<b>Tuvalu</b>	<p>3 legal texts: amendments to KP, agreement on immunities for KP, and Copenhagen Protocol</p>	<p>Developed: if no commitment under KP, QELROs Developing: undertake NAMAs, financing in three tiers General: enhanced REDD based on NAMA approach</p> <p>Temperature increase of 1.5 C or less, stabilization below 350 ppm, survival of all nations a paramount objective</p>	<p>All parties develop national adaptation plans; regional centers for adaptation; country-driven proposals for funding; vulnerable countries can access fund; expert adaptation committee</p>	<p>Guided by Article 5, 7, 8 of Kyoto</p>	<p>Create a Climate Impact Rehabilitation Facility and a Climate Change Compensation Mechanism; also create a Multilateral Fund on Climate Change under authority of COP/AOP</p>
<b>United States</b>	<p>An agreement that establishes a shared vision and “combines mid-term action with a long-term strategic framework”</p> <p>Built on UNFCCC, comprehensive and integrated, reflects changing world circumstances, efforts by all parties.</p> <p>Structure: COP decision/shared vision + implementing agreement</p>	<p>Developed: quantitative emissions reductions in conformity with domestic law Developing: implement NAMAs consistent with capacity</p>	<p>Parties agree to robust adaptation framework; increase attention to adaptation at all levels; galvanize support across sectors; promote climate-resilient development</p>	<p>Implementing agreement: appendix for registering NAMAs, Low Carbon Strategies for all countries, MRV.</p>	<p>Coordinated but decentralized financial architecture; markets deliver majority of capital flows to address mitigation; public finance scaled up; enhanced capacity-building assistance</p>
<b>NGOs (Greenpeace, WWF, etc.)</b>	<p>Two protocol approach: (1) amended Kyoto Protocol and (2) Copenhagen Protocol</p>	<p>Developed: 95% below 1990 by 2050, Zero Carbon Action Plans, strong compliance mechanism with financial penalties Developing: Low Carbon Action Plans built upon NAMAs; 51% below 1990 by 2050</p> <p>Action planned to 2050, 5-year commitment periods, temperature peak and decline far below 2 C, emissions at least 80% below 1990 by 2050</p>	<p>Developing countries entitled to funding with focus on most vulnerable; climate risk insurance mechanisms; compensation and rehabilitation systems</p>	<p>Developed: MRV is linked to penalties Developing: National Systems for Measurement of Emissions, National Communications, GHG inventories, Committee for Reporting and Review</p>	<p>Developed world provides at least \$160B; auctioning of AAUs is primary source</p>

## Glossary of Acronyms

A1	Annex I Countries	MTAF	Multilateral Technology Acquisition Fund
AAU	Assigned amount unit	NAI	Non-Annex I Countries
AF	Adaptation Fund	NAMAs	Nationally Appropriate Mitigation Action
APP	Asia Pacific Partnership	NAPAs	National adaptation programmes of action
BATs	best available technologies	NCCF	National Climate Change Fund
BAU	Business as usual	NLCDS	National low carbon development strategies
CB	Capacity Building	ODA	Official Development Assistance
CBDR	Common but differentiated responsibilities	PAC	Permanend Adaptation Committee
CDM	Clean Development Mechanism	QELRCs	Quantified Emission Limitation and Reduction Commitments
CIFs	Climate Investment Funds	QERCs	Quantified Emission Reduction Commitments
COP	Conference of the Parties	QELROs	Quantified Emission Limitation and Reduction Objectives
EB	Executive Body	RE	Renewable Energy
EE	Energy Efficiency	REDD	Reduced Emissions from Deforestation and Degredation
EGTT	Expert Group on Technology Transfer	SBSTA	Subsidiary Body for Scientific and Technological Advice
ETS	Emissions Trading System	SD	Sustianable Development
FAA	Federal Aviation Administration	SD-PAMs	Sustianable Development policies and measures
FAO	Food and Agricultural Organization of the United States	SIDS	Small Island Development States
FTCB	finance, technology and capacity-building	SMEs	Small and Medium-sized Enterprises
FDI	Foreign Direct Investment	TAPs	Technology Action Plans
G77	Non-Annex I Countries	TFCB	Technology, finance and capacity-building
GCOS	Global Climate Observation System	TIP	Technology Information Platform
GEF	Global Environment Facility	TNA	Technology Needs Assessment
GHG	Greenhouse Gases	TOA	Technology Oriented Agreement
HDI	Human Development Index	TRIPs	Trade-Related Aspects of I
JI	Joint Implementation	TT	Tech transfer
IPR	Intellectual Property Rights	UNFCCC	United Nations Framework Convention on Climate Change
LCDS	Low-carbon development strategy	V&A	Vulnerability & Adaptation
LCDP	Low-carbon development plans	VC	Venture Capital
LDCs	Least-developed countries	WB	World Bank
MAF	Multilateral Adaptation Fund	WCCF	World Climate Change Fund
MCTF	Multilateral Climate Technology Fund	WHO	World Health Organization
MRV	Measure, Report & Verify	WMO	World Meteorological Organization

## About WRI

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Our mission is to move human society to live in ways that protect Earth's environment and its capacity to provide for the needs and aspirations of current and future generations.

Because people are inspired by ideas, empowered by knowledge, and moved to change by greater understanding, WRI provides—and helps other institutions provide—objective information and practical proposals for policy and institutional change that will foster environmentally sound, socially equitable development.

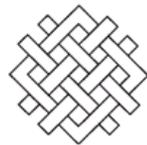
WRI organizes its work around four key goals:

*People & Ecosystems:* Reverse rapid degradation of ecosystems and assure their capacity to provide humans with needed goods and services.

*Governance:* Empower people and support institutions to foster environmentally sound and socially equitable decision-making.

*Climate Protection:* Protect the global climate system from further harm due to emissions of greenhouse gases and help humanity and the natural world adapt to unavoidable climate change.

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