



联合国



## 气候变化框架公约

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《公约》之下的长期合作行动问题特设工作组

第四届会议

2008 年 12 月 1 日至 10 日，波兹南

临时议程项目 3(a-e)

通过目前、2012 年之前和 2012 年以后的长期合作行动，促使充分、

有效和持续地执行《公约》，为此，除其他外应处理下列问题：

长期合作行动的共同愿景

加强缓解气候变化的国家/国际行动

加强适应行动

加强技术开发和转让行动以支持缓解和适应行动

加强供资和投资方面的行动以支持缓解和适应行动及技术合作

《公约》之下的长期合作行动问题特设工作组

第三届会议上所发表的意见摘要

主席的说明 \*

### 概 要

《公约》之下的长期合作行动问题特设工作组第三届会议于 2008 年 8 月 21 日至 27 日在加纳阿克拉举行。在该届会议上，缔约方审议了第 1/CP.13 号决定(《巴厘岛行动计划》)的各项内容：长期合作行动的共同愿景；加强缓解气候变化的国家/国际行动；加强适应行动；加强技术开发和转让行动以支持缓解和适应行动；加强供资和投资方面的行动以支持缓解和适应行动及技术合作。特设工作组请主席编写一份届会期间所发表意见的摘要。

\* 本文件逾期提交是因为没有足够时间定稿。

## 目 录

	<u>段 次</u>	<u>页 次</u>
一、导 言 .....	1 - 5	3
A. 任 务 .....	1 - 2	3
B. 本说明的范围 .....	3 - 5	3
二、主席的总结 .....	6 - 55	4
A. 加强适应行动及其相关执行办法 .....	6 - 13	4
B. 加强缓解行动及其相关执行办法 .....	14 - 28	5
C. 提供技术和资金，包括考虑体制安排 .....	29 - 55	8

Annexes

I. Report on the workshop on cooperative sectoral approaches and sector specific actions, in order to enhance implementation of Article 4, paragraph 1 (c), of the Convention .....	12
II. Report of the workshop on policy approaches and positive incentives on issues relating to reducing emissions from deforestation and forest degradation in developing countries; and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks in developing countries.....	15

## 一、导 言

### A. 任 务

1. 《公约》之下的长期合作行动问题特设工作组(特设工作组)第三届会议于 2008 年 8 月 21 日至 27 日在加纳阿克拉举行。届会期间缔约方交换了意见,以求在第 1/CP.13 号决定(《巴厘岛行动计划》)为特设工作组规定的各项任务方面取得进展。<sup>1</sup>

2. 特设工作组第一届会议请主席编写一份每届会议上所发表意见的摘要。特设工作组还请主席在摘要中收入作为其工作方案一部分而举行的研讨会上发表的意见。<sup>2</sup>

### B. 本说明的范围

3. 特设工作组第三届会议审议了《巴厘岛行动计划》第 1 段所载 5 个任务事项。<sup>3</sup> 考虑到这些事项的内在联系,同时需要将研究缓解和适应工作相关问题与技术开发和转让以及融资和投资支助相挂钩,而且需考虑加强技术和融资合作的具体内容,特设工作组就以下议题设立 3 个联系小组:

- (a) 加强适应行动及其相关执行办法;
- (b) 加强缓解行动及其相关执行办法;
- (c) 提供技术和资金,包括体制安排考虑。

4. 本摘要的结构按 3 个联系小组处理的专题安排,以便最好地体现交流意见的背景。

5. 如同上次一样,本摘要也是以特设工作组先前各届会议意见交流情况为依据,<sup>4</sup> 但重点放在第三届会议取得的进展。本摘要同时尽可能突出强调缔约方所提出、并在届会期间讨论的各种想法和建议。<sup>5</sup>

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<sup>1</sup> FCCC/AWGLCA/2008/12。

<sup>2</sup> FCCC/AWGLCA/2008/3, 第 26 段。

<sup>3</sup> 缔约国还讨论了 2009 年的一项工作方案(FCCC/AWGLCA/2008/12, 第 28-37 段)。

<sup>4</sup> FCCC/AWGLCA/2008/6 和 FCCC/AWGLCA/2008/11。

<sup>5</sup> FCCC/AWGLCA/2008/MISC.2 和 Add.1

## 二、主席的总结

### A. 加强适应行动及其相关执行手段

6. 关于加强适应行动及其相关执行手段的意见交流，围绕特设工作组第二届会议确定的以下 4 个重点领域开展：<sup>6</sup>

- (a) 国家适应工作规划；
- (b) 简化和扩大资金和技术支助；
- (c) 加强知识分享；
- (d) 适应工作的体制框架。

7. 讨论反映出对一些概念的想法逐步靠拢。讨论再次突出了适应对所有缔约方的重要性以及适应与贫困的内在联系。缔约方认为，应对气候变化挑战的能力因国情而异，而且很多情况下需要对最易受影响国家提供大量外来支助，包括支助开展能力建设，以便适当制定适应对策。

8. 很多人感到，最好通过设立通盘行动框架处理扩大和简化资金和技术支持的需要，而这就既要处理适应领域需要采取哪些行动，又要处理应作出哪些安排以便创造必要的扩大和简化资源。

9. 根据《巴厘岛行动计划》的规定，这些安排应考虑到尤其容易受到气候变化不利影响的发展中国家的紧迫和眼前需要，特别是最不发达国家和小岛屿发展中国家的这种需要，以及受干旱、荒漠化和洪涝影响的非洲国家的需要。

10. 这一框架的核心就是在不同层面作出安排。很多缔约方认为，国际一级的安排应协助国际、区域和国家实体及利害关系方建立联系，同时应帮助支持区域和国家一级加强适应工作的规划和执行。

11. 在建立国家一级，应制定用于编制和执行国家适应计划的安排，并辅之以有力的脆弱性和适应评估。今后届会需要进一步讨论的相关问题包括这些国家适应计划应具备的特点，以及加强适应工作纳入国家和部门政策的方式方法，为此还要顾及气候变化对发展造成的额外负担。如何作出安排促使简化和扩大的资金及技术支持用于编制和执行这些计划，也是今后讨论的另一领域。

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<sup>6</sup> FCCC/AWGLCA/2008/11, 第 29 段。

12. 在执行适应工作和加强相关知识分享方面,很多人表示希望设立或加强区域适应中心和网络,以便推动所有缔约方之间就适应工作交流经验和最佳做法。孟加拉国建议设立一个国际适应中心,促进区域间适应工作发挥协同效应。

13. 缔约方还强调需要对目前在适应方面的努力进行总结并向前推进,包括与知识分享有关的努力,此处所指不仅是《公约》之下的努力(编制和执行最不发达国家的国家适应行动方案,执行关于气候变化影响、脆弱性和适应的内罗毕工作方案,以及第 1/CP.10 号决定执行进展的一部分工作),而且也包括在《公约》进程之外的努力。需在未来的届会上进一步讨论外部实体如何推动开展更多行动的问题。

#### B. 加强缓解行动及其相关执行办法

14. 关于加强缓解行动及其相关执行手段的意见交换围绕下列问题:

- (a) 发达国家缔约方的适当国家缓解承诺和/或行动;
- (b) 发达国家缔约方努力及国情的可比性;
- (c) 发展中国家缔约方的适当国家缓解行动;
- (d) 缓解行动的衡量、报告和核实以及资金和技术支持;
- (e) 发展中国家森林部门缓解工作的政策方针和积极奖励;
- (f) 合作部门方针和具体部门的行动;
- (g) 提高缓解行动成本效益的各种方针;
- (h) 对应措施的经济和社会影响;
- (i) 《公约》的催化作用;
- (j) 加强技术开发和转让方面的行动以支持缓解行动;
- (k) 加强供资和投资方面的行动以支持缓解行动和技术合作。

15. 缔约方重申特设工作组先前各届会议的总体一致意见,即,需在全球范围加强缓解行动,而且发达国家应率先采取行动,包括作出新的量化的排放限度和减排目标承诺。一些缔约方重申,考虑到发达国家各自的能力和国情,确保这些国家所做努力的可比性非常重要。在此方面,建议所有发达国家缔约方到 2020 年应使其温室气体排放量比 1990 年水平减少 30%。

16. 关于责任以及所做努力的分担存在不同看法。一方面,一些缔约方认为共同但有区别的责任这一概念意味着采取缓解行动的责任有所区别,不仅在《公约》

附件一所列缔约方(附件一缔约方)与非《公约》附件一所列缔约方(非附件一缔约方)之间,而且在这些集团内部都应如此。它们提到,应根据发展中国家缔约方的国情和能力,区别对待这些国家所采取行动的性質以及获得的支持。一些缔约方建议某些发展中国家应采取更强的缓解行动。为此,有一种论点认为,可采取多种政策和措施鼓励所有发展中国家扩大参与加强缓解工作。根据这一观点,最不发达国家和小岛屿发展中国家不应受到任何承诺的束缚,而且重点应在支持这些国家实现可持续、有利环境的发展。一些缔约方建议,可以根据某些标准区别对待发展中国家缔约方,包括人均国内生产总值,温室气体排放比例,人均排放量,经济合作与发展组织成员资格以及经济发展情况。一些缔约方的论点则认为,人均国内生产总值并非良好的能力指标,对小岛屿国家尤其如此。

17. 另一方面,一些缔约方认为,根据《气候公约》之下的义务、《巴厘岛行动计划》案文以及历史责任,区别对待采取缓解行动的责任应继续只适用于发达国家和发展中国家缔约方之间。在这两个集团内部的任何区别对待将构成对《公约》的修订,而这不属于特设工作组权力范围。还有人强调说,发展中国家的行动应与为此种行动所提供的支持相联系,并且与《公约》第四条第7款相关。在此方面,一些缔约方呼吁特设工作组的讨论重点放在发达国家的承诺和履约情况,包括它们承诺在所有发展中国家支持开展技术转让和能力建设。几个缔约方还强调需要承认发展中国家在减排方面的自愿努力。

18. 关于适当国家缓解行动,辩论表明必须进一步讨论一些问题,诸如发达国家和发展中国家可采取的行動的形式、如何支持发展中国家开展行动,以及如何衡量、核实和报告采取的行动及提供的支持,以推进这种辩论。

19. 缔约方提到缓解行动的衡量、报告和核实以及资金和技术支持,虽然对这一概念的理解不尽相同。几个缔约方重申了在特设工作组以往届会上表达的观点,即,缓解行动的衡量、报告和核实以及资金和技术支持方面的要求应取决于是在发达国家适用还是在发展中国家适用。一些缔约方认为,衡量、报告和核实是处理努力与责任的可比性问题的一种手段。另一些缔约方则表示需有更好的衡量、报告和核实制度,这种制度要能有助于确定更为准确的排放并监测各种行动,而这反过来又有助于基线形成更为充足的资金流量支持缓解行动。交流意见表明,需要就“可衡量、可报告及可核查”概念的含义和应用进行深入讨论。

20. 缔约方还讨论了缓解的一些具体内容，尤其是合作部门方针及具体部门行动，还有涉及减少发展中国家毁林和森林退化所致排放量的政策方针和积极奖励。这些讨论工作主要是在阿克拉举行的会期研讨会上进行的。<sup>7</sup>

21. 关于合作部门方针以及具体部门行动问题，2008年8月22日在加纳阿克拉举行的关于这一主题的研讨会上缔约方所作的介绍，有助于澄清和加深了解这些术语的含义，以及这种方针和行动对加强缓解行动和提高具体部门技术合作机制和工具的效果的作用。<sup>8</sup> 一些缔约方提出的具体想法和建议包括设立支助机制，如用于具体部门技术合作的资金和研发方案，以及利用立足市场的机制(包括涉及按排减量计分的机制)为加强缓解行动提供奖励。

22. 在研讨会上以及在届会期间交换意见时，缔约方强调合作部门方针及具体部门行动的背景在于《公约》第四条第1款(c)项内容。缔约方还讨论了这些方针和行动的<sup>9</sup>性质及范围，并提到执行原则。一些缔约方列举与制订和执行相关的复杂性、挑战及收益。

23. 缔约国感到，合作部门方针及具体部门行动构成加强国家缓解行动的几种备选方案之一，并提到其应用对发达国家和发展中国家缔约方应有所区别。

24. 通过讨论形成的可能重点领域包括：

- (a) 合作部门方针及具体部门行动的性质和类型；
- (b) 包括技术合作在内的有效支助机制，涉及技术、资金和能力建设以加强执行《公约》第四条第1款(c)项；
- (c) 具体部门行动以可衡量、可报告及可核查的方式对适当国家缓解行动的可能贡献；
- (d) 吸收私营部门和政府间组织参与具体部门加强缓解活动的机会。

25. 2008年8月22日在加纳阿克拉举行的第二届研讨会上，<sup>9</sup> 关于减少发展中国家毁林和森林退化所致排放量的政策方针和积极奖励办法，以及发展中国家森林养护、可持续森林管理以及加强森林碳储存的作用这个议题的审议，有助于加深

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<sup>7</sup> [http://unfccc.int/meetings/ad\\_hoc\\_working\\_groups/lca/items/4488.php](http://unfccc.int/meetings/ad_hoc_working_groups/lca/items/4488.php).

<sup>8</sup> 研讨会报告载于本文件附件一。

<sup>9</sup> 研讨会报告载于附件二。

了解《巴厘岛行动计划》第1段(b)小段(三)项的不同方面，以及特设工作组与附属科学技术咨询机构在此问题上开展工作的不同范围和互补作用。

26. 缔约方还提出了一些关于采取缓解行动的具体建议，涉及发展中国家毁林和森林退化、发展中国家的森林养护和可持续森林管理以及提高森林碳储存量。这些建议还为这些行动的筹资问题提出了备选办法。

27. 缔约方确定的可能重点领域包括：

- (a) 进一步讨论为发展中国家在森林部门采取缓解行动设计政策方针和积极奖励办法时，如何处理减少毁林和森林退化所致排放量以及森林养护和提高森林碳储存相关问题；
- (b) 探索如何利用非市场资金及市场机制作为政策方针和积极奖励办法，包括评估不同拟议备选办法的影响；
- (c) 评估处理排放量长期性、额外性和处置相关问题的不同备选办法的影响。

28. 缔约方就缓解的其他具体内容交换了意见，包括一些问题，涉及加强供资和投资方面的行动以支持缓解行动和技术合作、对应措施的后果，包括需要对现有政策、措施和途径进行审查及如何评估在尽量减少可能的负面后果方面遵行规定的程度，以及提高适当国家缓解行动成本效益的方针，包括市场作用、可持续发展政策和措施、国家低碳开发计划以及注意部门能效问题。

### C. 提供技术和资金，包括考虑体制安排

29. 关于提供技术和资金问题的意见交换，包括体制安排考虑，集中于如何同时为缓解行动和适应行动进一步提供技术和资金，包括考虑获得资金和技术以满足这些需求的相关问题及其提供办法安排。讨论工作围绕《巴厘岛行动计划》第1段(d)和(e)小段的各个方面，缔约方进一步加以探讨了特设工作组第二届会议<sup>10</sup>及第三届会议期间提出的建议。

30. 如同特设工作组历届会议的讨论一样，缔约方强调了技术、资金和能力建设都是十分重要的执行手段，而且应采取连贯一致的框架处理所有这些问题。

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<sup>10</sup>

FCCC/AWGLCA/2008/11。

31. 许多缔约方提到，加强《公约》之下的技术开发和转让行动依然是一种挑战。市场以及体制安排和限制因素被认为是这方面的一部分问题。

32. 一些缔约方提到，现行知识产权制度阻碍了技术推广和转让。许多缔约方感到，专利分享条件下共同规划的研发可能有助于解决这一具体问题。一些缔约方探讨了采取与制药领域类似的强制许可的可能性。

33. 缔约方承认私营部门的作用，但同时提到国营部门应提供一种有利的管理框架，以鼓励私营部门投资于必要的技术或是与发展中国家分享。

34. 菲律宾以 77 国集团和中国的名义概述了在《公约》之下设立一种技术机制的全面建议，该机制将按照《公约》第四条第 1 款(c)项、第三条和第五条以及其他相关规定，处理技术研究、开发、推广和转让方面开展合作的所有内容。该建议提出设立一个技术问题执行理事会，作为《公约》的一个附属机构，并且由一个战略规划委员会、一些专门技术小组、一个核查小组以及秘书处提供支助。建议中还提出设立多边气候技术基金，在缔约方会议指导下运作。将规定由执行理事会制定一项技术行动计划，在技术周期的所有阶段提供支持。该建议还提出了一份符合条件的行动的指示性清单，对此缔约方会议可加以修改。

35. 加纳建议订立一项技术开发和转让国际框架协定，包括设立一个技术开发和转让理事会以及一个多边技术基金，在缔约方会议指导下运作。建议中还提出了一项关于整个技术周期和能力建设需要的中期和长期愿景，以及针对增值和入计量的一揽子奖励办法。

36. 法国以欧洲共同体及其成员国的名义建议制订一项加强的技术合作框架，由 4 个部分组成：用于支持所有缔约方开展技术需求评估、信息分享和公共宣传、能力建设以及衡量和监测行动的体制安排；扶持性的环境；指导开展技术合作的技术协定，包括国家实施计划、研发以及能效方案；以市场和私营部门为主要推动力的金融机制和工具。

37. 一些缔约方认为，发展中国家可采取可持续的发展政策和措施，帮助逐步采取缓解和适应行动，对此应通过国际技术和资金合作提供适当奖励。缔约方还指出，为吸收利用技术建立扶持性的环境需要支持开展能力建设，同时还确定，对新型和新出现技术的商业化使用、联合技术开发以及获得低排放技术所带来的全部边际成本，都应提供支持。

38. 缔约方在讨论技术支持问题时，还提到技术转让工作组的工作十分有益，可对特设工作组的讨论作出重要贡献。

39. 另一方面，讨论提供资金时谈到了一种资金框架的不同组成部分，例如：

- (a) 新的和额外的资金来源；
- (b) 筹措资金的标准；
- (c) 治理原则和提供机制；
- (d) 资金的分发。

40. 关于新的和额外的资金来源的讨论主要围绕由菲律宾以 77 国集团和中国名义提出的建议，以及、大韩民国、墨西哥、挪威以及瑞士提出的建议。

41. 缔约方强调，应遵守有关筹措资源的共同原则，尤其是资源必须充足、可预测和可持续的原则。一些缔约方提出先采取可核查的行动后再加强资助的问题。

42. 一些缔约方在讨论中认为，主要资金来源应是国营部门。发达国家的义务缴款被认为是主要来源；一些缔约国探讨了将附件一缔约方国内生产总值某个百分比定为这种缴款水平的问题。

43. 关于资金的来源，一些缔约方提出可对高碳排放量活动征税，另一些缔约方则倾向于对碳市场征税。还有一些缔约方建议可拍卖一定比例的配量单位。还有提议征收与缓解行动相挂钩的减排配额税，以此为适应行动形成资金。

44. 一些缔约方认为，应考虑让非国家行为方提供资金。关于私营资金来源的作用，一些缔约方认为，国营现有资金来源不足，需要使私营资金成为主要来源，尤其是用于缓解行动。许多缔约方期待市场(包括扩大范围的碳市场)在提供资金开展缓解活动方面发挥作用。一些缔约方强调，在市场不能提供必要资金的情况下，需要对这些国家提供国际公共资金支持。一些缔约方提到，虽然市场是一种强有力的工具，但必须与实现可持续发展的必要条件相平衡。

45. 一些缔约方还询问现有不同建议如何兼顾国营和私营部门创造更多资金的各种备选方案、工具和机制。

46. 关于筹措资金的标准，一些缔约方强调必须遵守共同但有区别的责任及各自能力的原则，以及“污染者付费”的原则。一些缔约方指出，“污染者付费”原则应充分考虑到《公约》下各国的具体责任以及温室气体排放的历史性责任。讨论到的其他筹资标准包括国家能力和国情、人均排放量、温室气体排放所占比例、人口及国内生产总值。

47. 关于上文第 39 段提到的资金框架的原则，缔约方除其他外提到公平和共同但有区别的责任原则、接受国直接获得资金，接受缔约方参与提出、界定和实施行动的所有阶段，注重国家需求，以及尽量减少资金“分散化”。

48. 一些缔约方建议说，《援助实效问题巴黎宣言》以及《发展筹资问题蒙特雷共识》为筹集资金提供了一整套令人满意的指导原则，另一些缔约方则认为这些原则不适用于《公约》内容。

49. 缔约方还讨论了治理结构的原则，例如应在缔约方会议的管理和指导下运作，并且完全对缔约方会议负责；在透明和高效率的治理制度下实现所有缔约方以平等和地域代表性平衡的方式参与；一个决策机关；受托管理方；技术机构；秘书处；以及运用资金实现不同目标的窗口机会。

50. 一些缔约方表示需要有一种协调用于缓解行动、适应行动和技术合作的资金的机制。

51. 谈到了与《公约》内外其他现有供资机构和机制的联系。一些缔约方探讨了双边、区域和其他多边渠道为执行《公约》提供资金发挥作用，并坚持认为《公约》第十一条第 5 款提供了通过这些渠道开展执行工作的框架，而且这种供资工作应作为承诺内容。另一些缔约方则强调，只有在缔约方会议指导下提供支持，才能对发展中国家采取的行动进行衡量、提出报告并作出核实。一些缔约方认为，非附件一缔约方的自愿捐助也可成为一种资金来源。

52. 缔约方还讨论了资金分配的标准。一些缔约方谈到了应以赠款形式支付全额增加费用的种种活动，如能力建设、专利、适应以及国家计划的制订。

53. 就适应而言，一些缔约方指出，适应方面的资金分配所依据的标准应是脆弱性和相关风险，以及适应气候变化的技术和资金能力，而且应优先考虑最为易受影响国家。

54. 一些缔约方指出，资金的分配方式应能有助于国家和私营部门的资金得到有效利用。

55. 另一些缔约方提到，资金调动和技术促进并不是《公约》的终极目的，而只是手段，为的是实现《公约》的最终目标。它们提出的问题是，各种不同建议是否有助于实现这一目标、这些建议对调动私营部门投资有多大效果，以及《公约》之下新开展的努力如何与《公约》范围之外的大量和不断增加的活动建立联系。

Annex I

[ENGLISH ONLY]

**Report on the workshop on cooperative sectoral approaches and  
sector-specific actions, in order to enhance implementation of  
Article 4, paragraph 1 (c), of the Convention <sup>1</sup>**

**Summary by the chair of the workshop**

**I. Introduction**

1. The Ad Hoc Working Group on Long-term Cooperative Action under the Convention (AWG-LCA) agreed its work programme for 2008<sup>2</sup> at its first session. The AWG-LCA also agreed that its work should be facilitated by workshops and other activities to clarify and deepen understanding of the elements contained in decision 1/CP.13 (the Bali Action Plan). The AWG-LCA, at the same session, requested the secretariat, under the guidance of the Chair in consultation with Parties, to organize a workshop at its third session on “Cooperative sectoral approaches and sector-specific actions, in order to enhance implementation of Article 4, paragraph 1(c), of the Convention”.<sup>3</sup>

2. This note by the Chair of the AWG-LCA, Mr. Luiz Alberto Figueiredo Machado, summarizes the presentations, exchange of views and discussions by Parties at the workshop. Background to the discussions in the workshop was provided by Parties’ submissions specific to this workshop and to the sessions of the AWG-LCA, and by the Chair’s summaries of views expressed at the first and second sessions.<sup>4</sup>

3. The workshop was chaired by the Chair of the AWG-LCA.

4. Presentations were delivered by the following eight Parties: Philippines on behalf of the Group of 77 and China; the European Community; India; Japan; Bangladesh speaking on behalf of the least developed countries; China; Indonesia; and the Republic of Korea. After the presentations, interventions were made by representatives of Australia, Qatar, Colombia, Saudi Arabia, the United States of America, Iceland, Switzerland, the Republic of Korea, the European Community, Norway, Japan, Philippines, China, New Zealand, Grenada on behalf of the Alliance of Small Island States, India, Brazil, Mexico, Argentina, Timor-Leste and Chile.

**II. Summary of discussions**

5. In their presentations and throughout the exchange of views, many Parties stressed that Article 4, paragraph 1(c), of the Convention provided the context for any discussions on cooperative sectoral approaches and sector-specific actions. Many Parties highlighted that such discussions should be aimed at enhancing the implementation of Article 4, paragraph 1(c), through technology cooperation focusing on the specific needs of specific sectors.

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<sup>1</sup> FCCC/AWGLCA/2008/CRP.4.

<sup>2</sup> FCCC/AWGLCA/2008/3.

<sup>3</sup> FCCC/AWGLCA/2008/3, paragraph 26.

<sup>4</sup> FCCC/AWGLCA/2008/6 and FCCC/AWGLCA/2008/11.

6. The importance of principles underlying the discussion and implementation of cooperative sectoral approaches and sector-specific actions was raised by some Parties. Such principles included: ensuring that these approaches contribute to the ultimate objective of the Convention and deliver real climate benefits; observing the principle of common but differentiated responsibilities; considering these approaches within the development context; taking into account national circumstances; ensuring compatibility with the global carbon market and existing or emerging regional emission trading schemes; and avoiding the application of international standards across countries.
7. Parties had an opportunity to clarify the nature and scope of potential cooperative sectoral approaches and sector-specific actions. Some Parties saw these approaches and actions as one of several options to enhance national action on mitigation. A distinction was drawn during the discussions between sectoral agreements and sectoral efforts, and between actions and approaches based on cooperation on the one hand and those that use market approaches on the other.
8. Some Parties noted that cooperative sectoral approaches and sector-specific actions would involve cooperation and action at the sector level, as opposed to action that is defined for the national level. It was generally agreed that these approaches and actions should not replace emission reduction targets of developed countries nor form the basis of proposals for sectoral mitigation commitments or international technology benchmarks. Some Parties noted that these approaches and actions should not constitute a means of arbitrary or unjustifiable discrimination or a disguised restriction on international trade. Some Parties shared the view that these approaches and actions could be an important means to engage the private sector in enhanced action on mitigation.
9. Discussions on various aspects of the application of cooperative sectoral approaches and sector-specific actions helped Parties to better understand these approaches and actions. It was suggested that these approaches and actions could be used as offset mechanisms or be applied to enhance action on mitigation. In this context, some Parties noted that the application of sectoral approaches and the implementation of sector-specific actions would differ between developed and developing countries. As regards developed countries, Parties largely agreed that these approaches and actions could complement national emission reduction targets. Some Parties suggested that they could be used to ensure comparability of efforts between developed countries if information at the sector level was used to determine mitigation potentials.
10. As regards developing countries, several Parties noted that these approaches and actions should focus strictly on technology cooperation, addressing all stages of the technology cycle and all technologies that control, reduce or prevent greenhouse gas emissions. Other Parties noted the importance of these approaches and actions in providing opportunities for nationally appropriate mitigation actions by developing countries. In this context, many Parties indicated that the process of identifying and implementing sector-specific actions should be voluntary and country-driven. Further, for developing countries this process of identifying and implementing sector-specific actions should be flexible and determined by their national capabilities and development goals.
11. Ideas for cooperative sectoral approaches and sector-specific actions were provided by some Parties. These included: programmes for research and development of sector-specific technologies; funds and other mechanisms to support compulsory licensing, the payment of royalties, the setting of sector-specific norms or non-binding energy efficiency programmes, and the development of policy instruments, strategies, guidance and programmes for specific sectors; and cooperation in the sharing of best available technologies and practices. Many Parties emphasized that implementation of cooperative sectoral approaches and sector-specific actions in developing countries depends on the availability of financial resources, technology and capacities.

12. Another aspect of applying these approaches and actions that was raised by some Parties was the identification of specific sectors, in particular those that are an important source of greenhouse gas emissions, such as the energy and transport sectors and the cement, iron and steel, and aluminium industries. Similar discussions focused on the level at which these approaches and actions would apply. Several Parties suggested focusing on approaches and actions that are defined and applied domestically. A few Parties suggested that these approaches and actions could apply at the global level for those sectors whose emissions are difficult to attribute to a specific country; the example of emissions from international aviation and marine bunker fuels was given in this regard. It was also noted that mechanisms established at the international level may limit the flexibility of Parties in focusing action at the national level on the most relevant sectors.

13. Several Parties referred to challenges and complexities associated with the implementation of sectoral approaches and sector-specific actions. Most of these challenges relate to national economic, social and political circumstances. Some of the challenges cited by these Parties included the costs and social implications of sectoral restructuring and diffusion of advanced environmentally sound technologies; a lack of qualified human resources; weak infrastructure for policy enforcement; the diversity of sectors and industries as well as of factors that determine emissions (or reduce them); a lack of homogeneity of technologies, processes and other factors preventing the setting of norms; and inhibited technological innovation resulting from closely held intellectual property rights.

14. Specific proposals for cooperative sectoral approaches and sector-specific actions presented at the workshop included crediting mechanisms involving sectoral crediting and no-lose targets; the identification of sector-specific actions based on the analysis of emission reduction potentials and indicators; and the setting of a target for emissions from international shipping. Suggestions to use indicators such as energy and carbon intensity and activity levels were also presented at the workshop.

### **III. Possible areas of focus**

15. The workshop provided a good opportunity for Parties to present and discuss ideas relating to cooperative sectoral approaches and sector-specific actions in order to enhance implementation of Article 4, paragraph 1(c), of the Convention, as well as ideas on the effectiveness of mechanisms and tools for technology cooperation in specific sectors. Several areas of interest and convergence emerged during the discussions, which could be further considered by Parties. They include:

- (a) The nature and type of cooperative sectoral approaches and sector-specific actions;
- (b) Effective support mechanisms, including for technology cooperation, involving technology, finance and capacity-building to enhance implementation of Article 4, paragraph 1(c), of the Convention;
- (c) Possible contribution of sector-specific actions to nationally appropriate mitigation actions in a measurable, reportable and verifiable manner;
- (d) Opportunities to engage the private sector and intergovernmental organizations in activities to enhance mitigation in specific sectors.

Annex II

[ENGLISH ONLY]

**Report of the workshop on policy approaches and positive incentives on issues relating to reducing emissions from deforestation and forest degradation in developing countries; and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks in developing countries<sup>1</sup>**

**Summary by the chair of the workshop**

**I. Introduction**

1. The Ad Hoc Working Group on Long-term Cooperative Action under the Convention (AWG-LCA) agreed its work programme for 2008 at its first session. The AWG-LCA also agreed that its work should be facilitated by workshops and other activities to clarify and deepen understanding of the elements contained in decision 1/CP.13 (the Bali Action Plan). The AWG-LCA, at the same session, requested the secretariat, under the guidance of the Chair in consultation with Parties, to organize a workshop at its third session on “Policy approaches and positive incentives on issues relating to reducing emissions from deforestation and forest degradation in developing countries; and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks in developing countries”.<sup>2</sup>
2. This note by the Chair of the AWG-LCA, Mr. Luiz Alberto Figueiredo Machado, summarizes the presentations, exchange of views and discussions by Parties at the workshop. Background to the discussions in the workshop was provided by submissions from Parties and observers specific to this workshop.
3. The workshop was held in Accra, Ghana, on 22 August 2008, during the third session of the AWG-LCA, and was chaired by the Chair of the AWG-LCA.
4. After the opening statement by the Chair of the AWG-LCA, the Chair of the Subsidiary Body for Scientific and Technological Advice reported on progress made in related ongoing work under the Convention on outstanding methodological issues.
5. Presentations were delivered by the following 12 Parties: China, Brazil, the European Community, Ghana, India, Indonesia, Mexico, New Zealand, Norway, Papua New Guinea, Tuvalu and the Bolivarian Republic of Venezuela. After the presentations, interventions were made by representatives of Australia, Malaysia and the United States of America. The workshop was open to all Parties and observers. At the end of the workshop, the following two observers were invited to provide their statements: Climate Action Network International and the Indigenous Peoples Forum on Climate Change of the International Alliance of Indigenous-Tribal Peoples of the Tropical Forests.
6. The presentations were followed by a general exchange of views in which Parties had the opportunity to clarify the ideas presented.

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<sup>1</sup> FCCC/AWGLCA/2008/CRP.5.

<sup>2</sup> FCCC/AWGLCA/2008/3, paragraph 26.

## II. Summary of discussions

7. There was a common understanding that the current knowledge of methodological issues was sufficient to initiate discussions on policy approaches and positive incentives. Robust methodologies are important to ensure that emission reductions are real, measurable, reportable and verifiable.

### 1. Mitigation activities and policy approaches

8. All Parties agreed that, when planning mitigation actions in the forest sector in developing countries, it is important to address reducing emissions from deforestation and forest degradation, conservation, sustainable management of forests and enhancement of forest carbon stocks, as reflected in paragraph 1 (b) (iii) of the Bali Action Plan. Although some Parties stressed the need to focus on issues related to reducing emissions from deforestation and forest degradation in the short term, others emphasized that all aspects should be considered of equal importance. Some Parties expressed the need to link this work with the guidance on measurable, reportable and verifiable actions provided in paragraph 1 (b) of the Bali Action Plan.

9. Parties stated the importance of adopting fair and cost-effective means to reduce emissions from deforestation and forest degradation in developing countries, while ensuring environmental integrity. The view was broadly held that in order for mitigation actions to be effective, participation of stakeholders, local communities and indigenous peoples should be secured.

10. Parties highlighted the importance of mitigation actions from the forest sector in stabilizing global greenhouse gas concentrations. However, some Parties opposed the use of forestry mitigation activities in developing countries to meet emission reduction commitments of industrialized countries. In this context, some Parties considered that the mitigation efforts by developing countries in the forest sector should be additional to the overall mitigation efforts by developed countries, in order to attain the stabilization of greenhouse gas concentrations in the atmosphere.

11. Most Parties mentioned the need for flexible, practical, balanced and comprehensive policy approaches. In addition, to ensure the effectiveness of approaches, participation in any future mechanism should be voluntary and encourage wide participation, taking into account national circumstances and existing policies and initiatives.

12. A specific proposal was presented by one Party for three categories of activities that would comprise a “readiness” phase to allow Parties to prepare for any future mechanism activities; a “scaling up” phase to allow Parties to begin and expand implementation of activities; and a “future regime” phase that would integrate the actions taken as fully fungible measurable, reportable and verifiable market activities. The proposal indicated that policy approaches should take into account national circumstances and include actions on conservation, sustainable management of forests and enhancement of carbon stocks.

13. One Party suggested that multiple benefits such as payment for environmental services be integrated into policies. It was suggested that this could be possible if implementation were integrated into comprehensive strategies of national sustainable development in developing countries.

### 2. Positive incentives and/or financing options

14. Parties expressed the view that regardless of the type of positive incentive, any financial mechanism should be effective, sustainable and predictable. They stated that incentives in the form of

resource provision and resource mobilization are necessary elements of positive incentives to stimulate action.

15. Views were expressed by Parties on the nature of positive incentives. Some Parties stated that positive incentives should be performance-based, and be supported by diversified funding sources including approaches linked to the carbon market. In this regard, a view was also expressed that the focus should be on monetizing the external global benefits of forest retention to the climate system, when the socially optimal area of forest retention is significantly increased.

16. It was noted that there could be several potential means to finance the mitigation activities discussed. They can be broadly grouped into two main categories: non-market-based financial resources and market-based mechanisms. Many Parties recognized the need for a combination of the two approaches to ensure sustainability of the actions to be undertaken; other Parties suggested that only non-market-based approaches should be used. Some Parties noted that the market-based approach had the potential benefit of involving the private sector in forestry mitigation activities. Regardless of the approach, funding would be required for capacity-building, technology transfer, strengthening governance and enforcement, relevant economic development programmes and demonstration activities.

17. With regard to financing options, a few Parties provided proposals. One Party proposed an international fund based on non-offset market arrangements. The proposed fund could be financed through a levy on international aviation and maritime transport, auctioning allowances under a self-contained cap and trade regime for international transport, a pledged percentage of auctioned national emissions trading allowances or a percentage of assigned amount units auctioned on the international market. Other examples of levies were also highlighted (e.g. a levy on logging and the timber production industry).

18. Another Party proposed a comprehensive approach that would incentivize equally reductions in emissions from deforestation and forest degradation, conservation, and enhancement of carbon stocks equally. It also proposed the following two approaches: a market-based approach for actions leading to change in carbon stocks with provisions to avoid the possibility of flooding the carbon market; and a non-market-based approach for maintenance of baseline stocks that could be funded through a levy on reducing emissions from deforestation and the forest degradation market.

19. In addition, one Party expressed the view that market approaches for reducing emissions could be more appropriately discussed in the context of the second review of the Kyoto Protocol pursuant to its Article 9.

### 3. Reference emission levels

20. It was mentioned by many Parties that incentives should be based on national reference emission levels, which should be revised periodically and take into account national circumstances. It was proposed by a Party that reference emission levels should be based not only on historical data but also take into account emission trends.

21. Another aspect mentioned by a Party was that perverse incentives should be avoided, particularly in the determination of baselines to estimate deforestation rates. The Party proposed that a development adjustment factor be applied to countries with low deforestation rates.

### 4. National and subnational approaches

22. Parties expressed the view that national approaches should be aimed for, whereas some recognized that subnational approaches could be a step towards these national approaches in order to

address specific national conditions. One Party suggested that although the focus should be on national approaches, transitional solutions that address issues of leakage and risk of non-permanence could be allowed.

#### 5. Capacity-building and other means of support

23. There was a general understanding of the need for immediate support for capacity-building at the individual, institutional and systemic level in developing countries. This includes the need for promotion of both North–South and South–South technology transfer and technical cooperation.

24. Several Parties indicated the need for relevant international organizations, donors and recipient countries to combine efforts, avoid duplication in their work, ensure consistency and enhance cooperation among themselves in order to support efforts by developing countries.

#### 6. Early actions and demonstration activities

25. Parties also expressed views on the significance of early actions and demonstration activities. Some Parties highlighted the need for policy discussions to take into account experiences and lessons learned from ongoing activities, earlier efforts and demonstration activities. Some Parties presented examples of ongoing activities in their countries related to reducing emissions from deforestation from which some lessons could be learned. Some Parties stated that early actions undertaken by developing countries in this area should be recognized and rewarded in any future financial mechanism.

26. Some Parties stressed the need for better understanding of the implications of approaches and actions, referred to in chapter II, in the context of economic development in developing countries, impacts on other productive sectors and climate change benefits.

### **III. Possible areas of focus**

27. According to many participants, the workshop provided a good opportunity for Parties to present and discuss ideas relating to policy approaches and positive incentives on issues relating to reducing emissions from deforestation and forest degradation in developing countries; and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks in developing countries. Presentations and interventions by Parties reflected areas of convergence as well as differences in views.

28. Several areas of interest emerged in the discussions. These could be further considered by Parties to advance the work and, when necessary, to identify and clearly define possible options for policy approaches and positive incentives. They include:

- (a) Further discussions on how issues related to reducing emissions from deforestation and forest degradation, conservation and enhancement of forest carbon stocks should be addressed when designing policy approaches and positive incentives for developing countries to take mitigation actions in the forest sector;
- (b) Exploring the use of non-market financial resources and market-based mechanisms as policy approaches and positive incentives, including the assessment of the implications of the different options proposed;
- (c) Assessing implications of different options to address issues related to permanence, additionality and displacement of emissions.

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