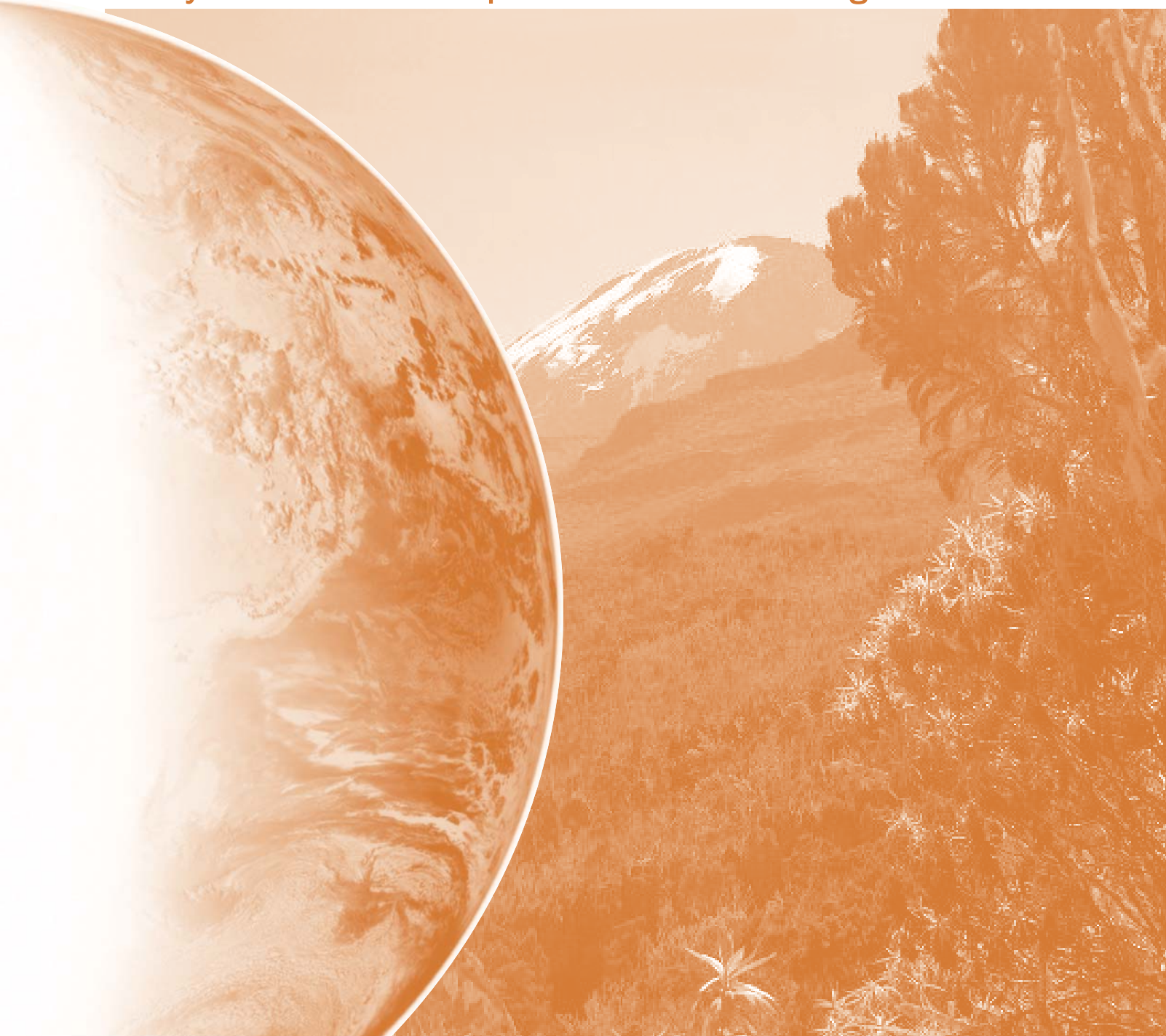


State-of-Play of the Climate Registry

A Mapping of UNFCCC Discussions of a
Climate/NAMAs Registry in the Eve of COP17

by Maria Athena Ronquillo-Ballesteros and Yingzhen Zhao



About the authors of this report

This paper was prepared by Maria Athena Ronquillo-Ballesteros and Yingzhen Zhao with assistance from Emily Norford. The authors would also like to thank Remi Moncel and Kirsten Stasio for their careful review.

About the Technical Working Group on the Institutional Architecture for Climate Finance (TWG)

The “Technical Working Group on the Institutional Architecture for Climate Finance” (TWG) was founded in early 2009 to develop practical architectural arrangements to support a post-2012 climate agreement. The TWG is composed of experts from developing and developed countries and operates through face-to-face meetings, electronic and phone consultations, the production of documents and the commissioning of studies

The thoughts and opinions expressed in this and all other TWG documents are those of its authors or the individuals participating in the Technical Working Group. They do not purport to represent the positions of the institutions with which each member of the TWG is affiliated or the positions of the institutions that have provided funding for the TWG.

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Glossary of Acronyms ¹

AWG-LCA	Ad-Hoc Working Group on Long Term Cooperative Action under the Convention
BURs	Biennial Update Reports
CCXG	Climate Change Expert Group, formerly known as Annex I Expert Group
CDM	Clean Development Mechanism
CTCN	Climate Technology Centre and Network
COP15	The 15th Session of the Conference of the Parties in Copenhagen
COP16	The 16th Session of the Conference of the Parties in Cancun
COP17	The 17th Session of the Conference of the Parties in Durban
CRS	Creditor Reporting System
DAC	Development Assistance Committee
EC	European Commission
EU	European Union
FDI	Foreign Direct Investment
G77/China	Group of 77/China
GCF	Green Climate Fund
GEF	Global Environment Facility
GHG	Greenhouse Gas
LCDS	Low-carbon Development Strategy
LDCs	Least developed countries
MDBs	Multilateral Development Banks
MRV	Measurable, Reportable, Verifiable
NAMAs	Nationally Appropriate Mitigation Actions ²
ODA	Official Development Assistance
OECD	Organization for Economic Co-operation and Development
REDD	Reduced Emissions from Deforestation and Degradation
SC	Standing Committee
TC	Transitional Committee of the Green Climate Fund
TEC	Technology Executive Committee
UNFCCC	United Nations Framework Convention on Climate Change
SBI	Subsidiary Body for Implementation
SBSTA	Subsidiary Body for Scientific and Technological Advice
SEFI	Sustainable Energy Finance Initiative
TWG	Technical Working Group on the Institutional Architecture for Climate Finance
UNCTAD	United Nations Conference on Trade and Development

Executive Summary

This paper presents and summarizes information relevant to the climate registry, including progress of UNFCCC negotiations, country positions on key issues around the registry and current initiatives serving purposes similar to those of the registry. In addition, we conducted a gap analysis on what additional technical assistance are needed to inform Parties' decisions, which results in a list of proposed questions for interested groups to address. The gap analysis was based on a review of the needs of and demands from UNFCCC Parties. Suggestions of piloting national and sectoral registries are also based on understanding the current suite of monitoring and tracking initiatives relevant to the registry. The purpose of this paper is to map out the landscape of the negotiations on the registry and provide recommendations on next steps for concerned researchers and organizations.

To lay a solid foundation for discussing the registry, this paper first references the relevant provisions in the Cancun Agreements that establishes a registry. Based on what has been defined in Cancun and outstanding elements to be discussed and agreed by Parties, this paper outlines key political and technical issues surrounding the establishment of the registry. To provide an overview of registry-relevant issues and to aid high-level thinking on climate financing and mitigation, an option of the future fully operational system is presented in an illustrative map. This map suggests entities and tools with which the registry will need to interact in order to perform its core functions, and the potential linkages between the registry and MRV. The option builds on earlier work of the Technical Working Group on the Institutional Architecture for Climate Finance (TWG) on the functions of the climate registry.³

Sections 2 and 3 of this paper present a summary and analysis of the state of UNFCCC negotiations and Party submissions as far as they are relevant to the registry, with a detailed mapping of party positions presented in Appendices I (a) and (b). The establishment of the registry was treated as one of the priority elements in the June 2011 Bonn and October 2011 Panama negotiations. Parties addressed issues related to the nature, functions, and institutional arrangements of the registry, information captured by the registry and linkages with other mechanisms. Because of the timing and importance of the process to establish the Green Climate Fund, the views expressed by the Transitional Committee members have also been included.

We identified coordination challenges created by the multiple UNFCCC reporting tools, and a growing number of UNFCCC and external pilot initiatives sharing functions similar to those of the registry. Appendix II and III of this paper consists of an overview and clarification of these elements.

Recommendations

Based on the mapping of existing initiatives relevant to the registry; a landscape check of where the UNFCCC negotiating process is; and a survey of ‘outstanding’ questions from countries, the following issues have been identified as possible areas of work for interested groups:

1. Conducting further research that will respond to an expanded list of registry-related questions presented below. Responding to these questions and providing analytical research help can inform countries as they make their decisions related to the design and implementation of the registry.

Questions on institutional arrangements:

- Who will establish, maintain and update the registry (role of the secretariat)?
- What human and financial resources will be required to maintain a registry

Questions on information contained in the registry the registry:

- What information about the NAMAs to record and how to present it in the registry?
- How will the information communicated to the registry relate to the information contained in the INF documents and in the BURs and national communications?
- Should private finance be registered in the climate registry? How? (Who can contribute to and access the registry?)

Questions on the “facilitating matching” function of the registry:

- What is “facilitate matching”? What matching criteria should the registry adopt?
- How to regularly update support available? How to balance between support sought and actually available?
- Should information be “recorded” by the registry or “reported” to the registry? What do these two terms actually entail?
- Should the registry provide technical support on the preparation of the NAMA proposals and technical assessment related to the decision-making process on listing the proposals in the registry, as part of the facilitating matching function?

Questions on the relationship between the registry and MRV:

- Will the registry serve to keep track of the support provided to NAMAs (domestic and international) and/or to keep track of the estimated (or measured) emissions reductions?

Questions on other functions of the registry:

- Should the registry perform the function of assessing financing gaps and providing recommendations and guidance, should it review NAMAs?
- Will the registry serve to analyze which countries are most/less successful in finding support for their NAMAs and/or what are the types of NAMAs that are most/least successfully implemented?

Questions on whether the registry should include more than NAMAs:

- Should a platform with similar functions to those of the registry be created for adaptation activities?⁴ Developing countries are preparing NAPAs and National Adaptation Plans; both preparation and implementation of these plans need support. Should they be entered into the registry and look for support in this arena?

Questions on linkages with other mechanisms:

- How to define relationships between various mechanisms related to reporting and review of climate finance including the Standing Committee, the registry, the biennial reports and national communications, and the Subsidiary Body for Implementation (SBI)? What are the linkages with the global review?).
- How to define the functional relationship between the registry and the Standing Committee, GCF, and other funds?
- How will the Standing Committee “set up” or “manage” a registry (as suggested in the co-facilitator’s draft texts on the Standing Committee)? Is the SC operational or advisory?
- How to link the registry with CDM’s international transaction log?
- How to define the relationship between the registry and other Mechanisms (the Adaptation Committee, the Technology Executive Committee, mechanisms for capacity building)?

2. Piloting registries either through a sectoral approach or as part of a national registry. For example, the transport sector is interested in NAMAs and the concept of a sectoral registry. The key players are two consortiums of international organizations, governments and NGOs, namely, Bridging the Gap Initiative⁵ and SLOCAT⁶. The TMAPPER initiative⁷ can be used as a prototype transport sectoral registry. Norway as the main convener of Energy + partnership could also potentially introduce national registries at the donor and recipient countries, where it is able to record support to and actions by developing countries related to energy access and climate change. Partner countries can also do the same and develop national registries. Note that this initiative can be implemented outside the confines of the UNFCCC process but will have to be reported back as part of the learning process.

1. Design of the registry: from the Cancun Agreements to a fully operational Climate Registry

The registry was set up as part of the Cancun Agreements with some guidance on its functions and composition, as highlighted below in Box 1. The two main functions of the registry were designated as facilitating matching of support for NAMAs seeking international support, and recognizing NAMAs in a separate section of the registry. In order to fulfill its purposes, the registry will house important yet diverse information on NAMAs including estimated costs, emission reductions and the anticipated timeframe for implementation of NAMAs seeking international support, support available and provided by developed countries; the NAMAs included in the INF. Document and probably additional mitigation actions voluntarily submitted. Many operational issues were not clarified in the Cancun Agreements, and outstanding questions about its scope and functions also remain to date.

Box 1. Relevant texts from the Cancun Agreements (Decision 1/CP.16) on the registry

The Cancun Agreements contains the following text on the registry:

53. Also decides to set up a registry to record nationally appropriate mitigation actions seeking international support and to facilitate matching of finance, technology and capacity-building support for these actions;

54. Invites developing country Parties to submit to the secretariat information on nationally appropriate mitigation actions for which they are seeking support, along with estimated costs and emission reductions, and the anticipated time frame for implementation;

55. Also invites developed country Parties to submit to the secretariat information on support available and provided for nationally appropriate mitigation actions;

56. Requests the secretariat to record and regularly update in the registry the information provided by Parties on:

- (a) Nationally appropriate mitigation actions seeking international support;
- (b) Support available from developed country Parties for these actions;
- (c) Support provided for nationally appropriate mitigation actions;

57. Agrees to develop modalities for the facilitation of support through the registry referred to in paragraph 53 above, including any functional relationship with the financial mechanism;

58. Decides to recognize nationally appropriate mitigation actions of developing countries in a separate section of the registry;

59. Requests the secretariat to record, and regularly update, in a separate section of the registry, information submitted by Parties on the following:

- (a) Mitigation actions contained in document FCCC/AWGLCA/2011/INF.1;
- (b) Additional mitigation actions submitted in association with paragraph 50 above;
- (c) Once support has been provided, internationally supported mitigation actions and associated support;

...

66. Agrees on a work programme for the development of modalities and guidelines for: facilitation of support to nationally appropriate mitigation actions through a registry; measurement, reporting and verification of supported actions and corresponding support; biennial reports as part of national communications from Parties not included in Annex I to the Convention; domestic verification of mitigation actions undertaken with domestic resources; and international consultations and analysis;

According to the registry provisions presented above, Parties should discuss the registry not only in terms of various aspects of its own operations, but also make decisions on its relationship with the financial mechanism, and other elements included in the work programme. Based on the Cancun Agreements and party submissions, we identified the following list of key issues in establishing the registry, which will also be used as the framework to organize information in later sections of the paper.

Box 2. Key issues in establishing the registry identified by the TWG

Operational arrangements for the registry

- *Nature and Institutional Arrangements:* the nature, form, size, host, and other institutional design issues of the registry;
- *Functions of the registry:* proposed functions can be categorized into matching support with actions, recognizing NAMAs, capacity building and information management;
- *What to enter into the registry:* domestically supported NAMAs, internationally supported NAMAs, support available, support provided, etc;
- *Modalities and guidelines:* as requested by paragraph 57 and 66 of the Cancun Agreements

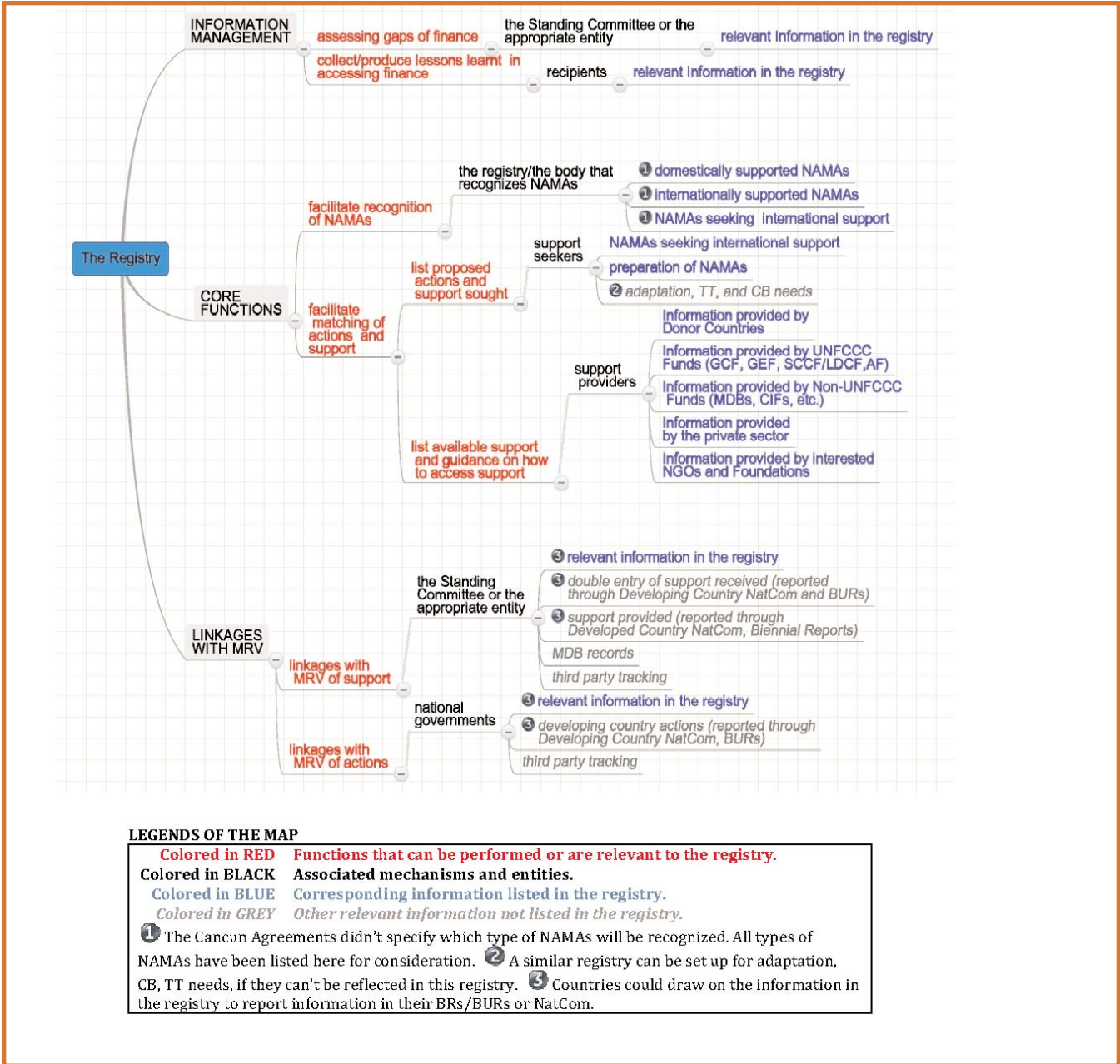
The registry and other tools and mechanisms

- *Linkages with other tools and mechanisms under developing country mitigation:* Although the registry is its own subject of discussion and the Cancun Agreements provisions establishing it make no reference to MRV, there may be linkages with MRV-related issues such as Biennial Update Reports (BURs), International Consultation and Analysis (ICA), and National Communications.
- *Linkages with the financial mechanism:* on the support and MRV of support side, the registry is likely to have a functional relationship with the Standing Committee, the Green Climate Fund and other funds serving as the financial mechanism of the UNFCCC.

Before looking at the detailed analysis of the UNFCCC mitigation and finance negotiation process on the registry to date and views that have been expressed by parties, we would like to first present options of how the full-landscape of finance, mitigation, and MRV mechanisms could look like in the future with the registry built in (figure 1). Although the general trend of negotiations on the registry is heading towards establishing a modest, repository tool, the registry could and is still supposed to facilitate important functions of matching support with actions and may have linkages with various existing or proposed MRV mechanisms. How to associate the registry with other more proactive mechanisms (financial, reporting, and mechanisms within and outside the UNFCCC) and make the best use of the information listed in the registry is one of the central questions. The map below presents how such mechanisms can be connected and served by the registry. It also illustrates what information and cooperation with which mechanisms are needed to perform certain proposed function of the registry.

The option discusses three sets of issues: the core functions of the registry in the Cancun Agreements, a potential role in information management, and linkages with MRV of finance and support. Donors (bilateral donors, multilateral funds, the private sector, etc.) and recipients should both be able to access the registry and its products, to better match funding and activities. The registry and its products should also be provided to the Standing Committee, and if appropriate, to the Technology Committee, Adaptation Committee and other relevant bodies that perform functions of assessing funding gaps, coordinating donors and funds, recognizing NAMAs, verifying financial support and addressing other issues as agreed by the parties.

Figure 1. Possible functions of a fully operational registry within the future landscape of climate financing, mitigation, and MRV processes



LEGENDS OF THE MAP

- Colored in RED Functions that can be performed or are relevant to the registry.
- Colored in BLACK Associated mechanisms and entities.
- Colored in BLUE Corresponding information listed in the registry.
- Colored in GREY Other relevant information not listed in the registry.

① The Cancun Agreements didn't specify which type of NAMAs will be recognized. All types of NAMAs have been listed here for consideration. ② A similar registry can be set up for adaptation, CB, TT needs, if they can't be reflected in this registry. ③ Countries could draw on the information in the registry to report information in their BRs/BURs or NatCom.

2. UNFCCC Negotiations on the registry

The latest two rounds of UNFCCC negotiations took place in Bonn, Germany in June 2011 and in Panama City, Panama in October 2011. During both sessions, Parties devoted attention to the registry as one of the priority issues and discussed it under the agenda item of developing countries' mitigation, along with NAMAs, International Consultation and Analysis (ICA) and Biennial Update Reports (BURs).⁸

In the latest round of negotiations at Panama, Parties addressed the registry in more detail within the informal group for mitigation by developing countries. Parties discussed the facilitative matching function, nature of the registry, and information contained in the registry. During the final AWG-LCA contact group meeting on Friday, the Co-Facilitator released a non-paper on the NAMA Registry, which was a fair representation of Parties' views on a narrow set of issues regarding the registry. The paper was updated and reproduced on October 14, 2011 to reflect parties' submissions after Panama

Regarding next steps, Parties' plans at Bonn were to establish the registry after Bonn, including convening a technical expert meeting/workshop before December 2011's COP-17 in Durban, South Africa. Parties also requested the Secretariat to prepare a prototype of the registry.⁹ After Panama, Parties agreed that submissions would be received and a revised version of the non-papers will be prepared before Durban. One party suggested a timeline for the 36th sessions of subsidiary bodies to further elaborate the functions of the registry and for the COP18 to adopt the decision.

Using the framework presented in Box 2, we try to capture below the convergence and divergence of Parties views on the operations of the registry, based on a detailed mapping of party positions in *Appendix I (a)*. The mapping of country positions draws from country submissions dated from November 2010 to October 2011,¹⁰ as well as relevant opinions expressed by the Green Climate Fund Transitional Committee Members.

Nature and institutional arrangements:

- Many Parties suggested that the registry should be voluntary, web based, mechanical and a repository; Parties also emphasized the accessibility and practicality of the design.

Functions of the registry:

- The overall value of the registry has been highlighted at Panama. Parties see it as the key to provide support to developing country mitigation actions, and to eventually releasing developing country mitigation potentials and scaling up the global action.
- For the recognition function, Parties have different views on whether it applies to domestically supported NAMAs or both domestically and internationally supported NAMAs.
- Many Parties expressed the view of limiting the functions of the registry to facilitating matching of actions to support, yet Parties have diverse views on the definition of "facilitating matching", ranging from a searchable website to an overview panel.
- Many Parties emphasized that the registry does not have authority over the sources of financial support and cannot guarantee sources to requests of support.
- Many developing countries emphasized that the registry should not become a prior requirement or bottleneck to access funding, nor should it have a design that is "burdensome".
- Some countries mentioned that the registry could be one of the tools for MRV of actions, but with particular reference to supported actions. Parties also discussed whether the registry could contribute to effective MRV of finance.
- Some Parties also called for the registry to promote and enhance capacity building.

Information contained in the registry:

- Several Parties (United States, etc.) asked for differentiation between unilateral actions and actions with support, and also differentiating actions receiving support from those seeking support.
- During negotiations on NAMAs in Bonn, Parties “stated that the invitation in paragraph 50 to developing country Parties to submit information on NAMAs is voluntary and as such the update of such information should happen in the registry.”¹¹
- Only Argentina mentioned that the registry should include not only mitigation activities, but also adaptation; Brazil specifically mentioned that the registry should only be used for large-scale mitigation programs.

Guidelines and modalities:

- Since 2009, there have been a variety of proposals regarding what elements of a NAMA should be registered, mainly serving two purposes: (1) to assess a NAMA’s potential to contribute to the global mitigation effort, and (2) to facilitate matching of NAMAs with support.¹²
- Beyond the basic elements, several Parties raised that 1) the requirements should not be too stringent on predicting emission reductions; 2) should only encourage submissions of proposed actions with the real prospect to be supported.
- The co-facilitator’s non-paper on the registry¹³ also captured options for what specific information of proposed actions and available support should be submitted to the registry in order to facilitate matching between them.

2.1. The registry, NAMAs, and other tools and mechanisms under the UNFCCC

Once established, the registry will have to complement or cooperate with many of the tools and mechanisms under the UNFCCC. The situation is further complicated because many of the other UNFCCC tools and mechanisms are also under intense negotiations, such as formats of the NAMAs and Biennial Update Reports, frequency and applicability of MRV and ICA, and roles and functions of the Standing Committee. Detailed Parties’ views on how to create synergies and identify complementarities between these tools and mechanisms are captured in *Appendix I (b)*, with main convergence summarized below.

In order to help navigate the confusing and undefined landscape of tools and mechanisms related to the registry, an overview of existing and proposed UNFCCC tools to record, report and review actions and support has been provided as Appendix II, describing how they are emerging.

Linkages with the NAMAs negotiations:

In the co-facilitator’s summary of negotiations on paragraph 48-51 of the Cancun Agreements, it is noted some Parties value the registry as an instrument to increase the level of mitigation actions.

Also, the importance of understanding the diversity of NAMAs, and assumptions underlying mitigation actions has been repeatedly emphasized. If the registry were to accurately capture support needed and the predicted effects of NAMAs, it is important for such information to be understood and properly presented in the NAMAs. Guidelines for submission of NAMAs apparently affect the registry’s operation since at least some NAMAs will be entered into the registry as well.

- Australia, Korea and India all talked about using the INF. Documents¹⁴ and further clarifications as a basis of the registry. The non-paper on the registry mentioned the INF. Document but did not provide options for the linkages between the INF. Document and the registry.
- Parties suggested that additional information invited by paragraph 50 of the Cancun Agreements could be submitted to the registry.
- In Panama, many Parties stressed the need for the registry to promote and enhance capacity building and respect the diversity of NAMAs. The political issue of whether NAMAs should follow the

same format and be comparable between countries is also a technical issue for the registry to perform recognition and facilitative matching functions.

- Chile submitted a proposed template for NAMAs prior to the Panama negotiations, which they also hope could be used as the template for submitting information to the registry.

Linkages with UNFCCC reporting tools

Contributing to the operation of the future registry and effective coordination within international climate finance and mitigation, various UNFCCC reporting tools need to be “hooked up” to the registry. The reporting tools themselves are under continued negotiations, touching on key issues like whether finance received should be reported in Non-Annex I (NAI)) NatCom to help verify developed countries’ reported contribution; whether NAI NatCom should be subject to in-depth review as well. According to a recent OECD report, while Annex II countries have taken steps to improve the quality and transparency of their reporting on financial and technology support, the usefulness and comparability of this information is still limited.¹⁵ The registry, however, can potentially contribute to improving the situation by providing more comparable data.

- Several Parties emphasized that the registry should not replace developing countries’ National Communications or Biennial Update Reports. A few parties believe that Parties can draw on information from the registry when producing their National Communications.
- Two Parties (India, Costa Rica) expressed their view on the difference between contents in the registry and the Biennial Update Reports: the registry should be ex-ante in listing intended emission reductions; the National Communications should be ex-post in recording emission reduction achieved, support received, and progress towards national goals.
- Reporting standards for National Communications (what and how to report, etc.) for both Annex I and non-Annex I countries are being reviewed and currently under development, which can be borrowed and revised to use for reporting in the registry.
- The registry is also relevant to developed countries’ biennial reports, especially the provision of support to developing country Parties. The non-paper at Panama suggests that “Each developed country party shall provide a description of its national approach for tracking the provision of financial, technological and capacity-building support to developing country Parties, including to the registry of nationally appropriate mitigation measures.”¹⁶
- New Zealand has a detailed proposal on what information should enter into biennial reports, National Communications and the registry, and what information is subject to IAR and review.¹⁷

Linkages with the Standing Committee

The Standing Committee (SC) has been discussed under the finance agenda, and the draft text on the SC has been produced by the co-facilitators. Relationship between the registry and the SC is a crucial component of the “functional relationship with the finance mechanism” mentioned in paragraph 57 of the Cancun Agreements.

- The Philippines on behalf of the G77 and China expressed the view that the Standing Committee should manage the registry; The EU pointed out that the Standing Committee could draw information from the registry.
- The non-paper on the registry prepared by the co-facilitators proposed an option – “the registry should be part of the Financial Mechanism of the Convention and should operate under the Standing Committee on Finance.”
- The draft texts on the Standing Committee prepared by the co-facilitators suggested “setting up and managing a Financial Support Registry to record all relevant information on financing channels, both inside and outside the Financial Mechanism, particularly with reference to the information required in performing the review functions”. It is unclear whether this is the same registry as the NAMAs registry.

Linkages with the Green Climate Fund

Besides the common understanding that the GCF could potentially fund NAMAs (mentioned in the non-paper on the registry), this issue has been seldom discussed. A few contrasting opinions have been expressed by UNFCCC Parties and GCF Transitional Committee (TC) members. The TC is the 40-member committee tasked by the COP to design the GCF.

- In the Bonn negotiations, a few Parties mentioned it was important to build early links between the GCF and the registry. However, Australia GCF TC member expressed the view that no formal linkage should be established between the registry and Green Climate Fund, in order to guarantee that the GCF only receive guidance from the COP.
- In contrast, India, in a UNFCCC submission, expressed the view that the registry should act as the financing window of the NAMAs in the Green Climate Fund.

3. Overview of registry-style initiatives

WRI identified many other initiatives in and outside of the UNFCCC already serving as a “prototype registry”¹⁸ or perform some of the functions envisioned for the registry. A stock-taking exercise (*Appendix III*) is conducted of these initiatives, which are hosted by the UNFCCC, World Bank, UN Agencies, voluntary consortium of countries, NGOs, and think tanks.

These initiatives can be summarized as follows:

- Those that track and monitor climate finance and, when available, includes information as to where funds come from, which countries are to receive them, and how funds are allocated (wri.org, UNFCCC portal, faststartfinance.org and climatefundsupdate.org)
- Portals such as those established by the UNFCCC that could potentially morph into the registry (UNFCCC Finance Portal), or those identified by Parties as the model for a future registry (United States, Australia and the Climate Finance Options website)
- Those that had significant progress at city level in a consortia of cities (Carbomm) or in a sector (REDD+ database for forestry sector, TMAPPER for transport)
- Those that provide information on climate funds and how to access funding, eligibility of projects (Climate Finance Option and the Climate Funds Update).
- Those that are already linked with other reporting tools under the UNFCCC (Finance Portal and NatCom)

Recommendations

Recommendations can be found immediately following the executive summary on page 4 of this document.

Appendix I. Detailed Country Position Mapping¹⁹

a) Operational arrangements for the registry

Issues	Sub-Issues	Options (<u>mutually exclusive options underlined</u>)	Views reflected in UNFCCC party submissions (after Cancun)
			Views reflected in UNFCCC party submissions (before Cancun) ²⁰
			Views of the <i>Transitional Committee Members of the Green Climate Fund</i>
Institutional Arrangements	Host of the registry	UNFCCC Secretariat	AOSIS, Bangladesh, Qatar: Hosted by the UNFCCC Secretariat. Hungary: Established by the Secretariat. Korea asked for clarification on the role of the secretariat to which all the information on NAMAs seeking support and the support available will be communicated. Switzerland: The registry should be housed 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. Israel: “the secretariat should have a role in presenting the information in an accessible and user-friendly manner.” The African group suggested draft text, including “Decides that the nationally appropriate mitigation actions submitted to the registry shall be checked by the Secretariat to ensure completeness of information of indicative mitigation actions submitted”
			Switzerland, AOSIS, Brazil, Norway, South Africa, Korea: voluntary. Australia: The registry will provide a platform for voluntary sharing of information, thus should not expect information to be comprehensive. New Zealand: “Information provided to the NAMAs registry is ‘recorded’ and not ‘reported’. Provision of information to this registry is not obligatory.” Australia: facilitative, non-political, voluntary, user-oriented, practical, stand-alone, non-duplicative.
	Nature of the registry	Practical and User-friendly	
		Rigorous process	New Zealand: (referring to Article 4.3 and Article 12.4 of the Convention) emphasized that “agreed incremental costs” means no automaticity of finance; the feasibility of actions needs to be justified and demonstrated.
		Online and mechanical	Switzerland: Seen as a repository tool, for developing countries to seek support or recognition. Mexico: “this is a voluntary, pragmatic, streamlined, non-bureaucratic tool that could take the form of a database in the UNFCCC webpage being its main purposes the facilitation of actions and transparency.” United States: <i>climatefinanceoption.org</i> developed by the secretariat, UNDP and the World Bank can serve as an example. Australia: simple, searchable web platform that lists NAMAs seeking support as well as support available; should learn from <i>climatefinanceoptions.org</i> , <i>CDM Bazaar</i> , and <i>UN matching SALW</i> .
	Frequency of updating the registry	Update annually	South Africa: 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. (2008-2009).
		Anytime	The Cancun Agreements requests the secretariat to record and regularly update relevant information in a separate section of the registry.

Issues	Sub-Issues	Options (<u>mutually exclusive options underlined</u>)	Views reflected in UNFCCC party submissions (after Cancun)
			Views reflected in UNFCCC party submissions (before Cancun) ²⁰
			<i>Views of the Transitional Committee Members of the Green Climate Fund</i>
			China: Invite Parties to submit their views on registry and launch a process under SBSTA this June (2011) to consider modalities and guidelines of registry including its relationship with financial mechanism. AOSIS: “The registry should be visible on the UNFCCC website well before Durban and ideally should be in place in a pilot form on the UNFCCC website by SB-34 this June.” Saudi Arabia: “is of the view that the 3rd session in Panama should aim to develop the modalities and guidelines for the Registry with the aim of providing guidelines for the facilitation of financial, technical and capacity-building support, which would result in a work programme to be agreed in Durban. The non-paper on the registry by the co-facilitators: The Subsidiary Body for Implementation at its [thirty-fifth] [thirty-sixth] session will further elaborate the modalities and functions of the registry with a view to adopting a decision at the eighteenth session of the COP. Switzerland: The registry should have a light structure, with no regulatory or decision-making power. India: “Since the registry has to perform the facilitation function for supporting the nationally appropriate mitigation actions, the registry should be an arm of the Green Climate Fund (GCF) and should act as the financing window of the NAMAs.” China: the matching function is a key element of the registry, through which financial, technological and capacity building support from developed countries can be delivered concretely and timely to developing countries. Australia: The registry should contain a facilitative platform to enable the assessment of the compatibility of the project and the support. Its design should maximize accessibility and effectiveness for the facilitating matching purpose. The registry itself cannot make final decisions on eligibility/allocation of support, nor should it provide specific recommendations on NAMAs-support matching. Hungary: The registry should facilitate matching of support. Ethiopia: for transparency reasons, donor and recipient countries should start cooperation at the planning stage of the action to be taken, and donor countries should help build recipient countries’ capacity. Both sides should then cooperate in developing detailed plan for implementation, and further support can be solicited through the registry and/or other channels that either the donor or the recipient Party or both may know of. New Zealand: The registry is to fulfill the “facilitate matching” function in para. 53 in 1/CP.16, and should not serve as a decision-making body; it should not guarantee or allocate sources to NAMAs or proposed actions, nor should it disincentivize the autonomy of developing countries’ mitigation actions. Further, the registry should not “disincentivize autonomous developing country mitigation action”, and should “only record intended actions that have no real prospect of being supported”. Pakistan: The decision making on NAMA proposals may not be actually in the Registry given that this would be decided by the financial entities under the Convention or other multilateral, regional or bilateral channels where NAMA proposals would actually be decided. Korea questioned the ways to balance between need for support and support actually available. Korea: since mitigation actions can be scaled up with appropriate international support, double listing should be allowed in the matching and recognition sections (recall “separate section” in the Cancun Agreements).
Functions of the registry	Process of setting up the registry	Before COP17	
		At COP17	
		After COP17	
		Light structure	
Functions of the registry	Function of facilitating matching of support and action	Actively matching	
		Facilitate matching	
		Facilitate matching and recognize NAMAs	

Issues	Sub-Issues	Options (<u>mutually exclusive options</u> underlined)	Views reflected in UNFCCC party submissions (after Cancun) Views reflected in UNFCCC party submissions (before Cancun) ²⁰ Views of the <i>Transitional Committee Members of the Green Climate Fund</i>
Functions of reviewing and recognizing NAMAs	Review and recognize NAMAs		Israel is of the view that “the Registry has two main important functions that include providing assistance with matching of NAMAs proposals, ready to be carried out, with existing available support; and to record and update information of implemented NAMAs.” Maldives: The registry should provide means for registering developing countries’ implementation of their finance obligations and for matching support with developing countries’ NAMAs. Canada: regular review of NAMAs in the registry. (April 2009) EU: International registry of NAMAs to be reviewed by UN Climate Change Conference. Registry allows for review of LCDS to ensure sufficient ambition level. (2009) Singapore: “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.” (2008-2009) Korea: The registry should record and update information of all the mitigation actions by non-Annex I country Parties, and also give international recognition. EC: NAMAs should be recognized by being listed in the registry. Mexico: the registry should have a field for unilateral NAMAs, which will not be subject to changes or updates but exist only for recognition.
		Capacity building	African group: the registry should provide assistance to non-Annex I Parties in submitting their indicative nationally appropriate mitigation actions to appropriate sources of funding and technology support. Korea: “We may also consider whether technical support on the preparation of the NAMA proposals and technical assessment related to the decision-making process on listing the proposals in the registry are necessary and, if so, how these functions can be embodied in or around the registry.” Brazil: Registry not the instrument to channel funding for capacity building actions. (April 2009)
		Help assess financing gaps and avoid duplicated efforts.	AOSIS: The registry would help assess where support can enhance mitigation actions, and help avoid duplicated efforts. Korea: A registry should provide transparent information, review the progress of mitigation, and identify sectors or regions where international cooperation or support is needed.
		Global database of available technology and best practices	Turkey: It would be useful to create a “global data pool” and an “easily accessible technological information system” that would have a registry of all Best Available Technology and Best Environmental Practices. (April 2009)
What to enter into the registry?	Information from recipient countries ²¹	NAMAs seeking support	Australia: The registry should record voluntarily submitted information on both actions seeking support and support available. Brazil: Non-Annex I countries should propose actions for the registry, providing estimated international support needed and mitigation benefits. (April 2009)

Issues	Sub-Issues	Options (<u>mutually exclusive options underlined</u>)	Views reflected in UNFCCC party submissions (after Cancun)
			Views reflected in UNFCCC party submissions (before Cancun) ²⁰
			<i>Views of the Transitional Committee Members of the Green Climate Fund</i>
Guidelines for submitting information		NAMAs seeking or not seeking support ²² ;	AOSIS: All quantified NAMAs that have been reported should be listed, whether or not they are seeking international support. Costa Rica: the registry reflects intended NAMAs in individual form, including unilateral or those seeking support, plus tradable or market NAMAs hopefully. India: Mitigation activities proposed and support sought by developing countries should be reflected in the registry; the registry should provide information on mitigation proposals already matched with support. Singapore: Unilateral NAMAs should be reported in the registry. Chile: NAMAs seeking international support should be recorded in a registry along with the required support. Unilaterally implemented NAMAs (around 10%) could voluntarily be recorded in a registry. Korea: Unsupported NAMAs could be registered voluntarily. United States: Non-Annex I Parties need to list actions in all three categories: domestic, supported, and those seeking support.
			AOSIS: Activities, cost and technology transferred for preparatory phase of NAMAs in developing countries will be registered. Guatemala: In the NAMAs preparatory phase, the associated cost and technology transferred will be registered.
			Argentina: The registry should contain mitigation and adaptation technology actions, commercialization, manufacturing and procurement actions.
			Mexico: support already provided to NAMAs. African group: Decides that, subsequent to the matching, the registry will record the both the action and matched support at the same time. India: "The registry should provide information on the matching of mitigation actions with the support received."
			Australia: The registry should record voluntarily submitted information on actions seeking support and support available. It should allow all potential donors – bilateral, regional, multilateral; public and private – to voluntarily submit information on support available to assist developing countries to undertake their proposed mitigation actions.
	Information from donors	Support available	Mexico: support available from developed country Parties
		1. Sector	Pakistan: information on NAMAs by developing countries seeking international support to the Registry should include: i. Estimates including all related incremental costs. ii. Type of support needed including finance, technology and capacity building for the design, preparation and implementation of such actions. iii. Estimates on emission reductions. Receive information on NAMAs by developing countries seeking international support to the Registry to include: iv. Anticipated time frame for implementation. Chile: section suggested in the NAMA template - "estimated cost", "estimation of potential CO2 emissions reductions", "timeframe for execution", "process for monitoring, reporting and verification", "coherence with national policy" and "prioritization of the NAMA within the sector/Ministry".
		2. Estimated support, including technology transfer and capacity building needs	

Issues	Sub-Issues	Options (<u>mutually exclusive options underlined</u>)	Views reflected in UNFCCC party submissions (after Cancun) Views reflected in UNFCCC party submissions (before Cancun) ²⁰ Views of the <i>Transitional Committee Members of the Green Climate Fund</i>
		3. Anticipated timeframe	Mexico: Estimated costs, Area of action (e.g. infrastructure, regulation or standard, capacity building, best practice) Estimated emission reductions (CO2e/year), Implementation period/timeframe Methodology (in accordance with IPCC guidelines and good practice guidance, when possible). Africa: Parties are to submit information on: a. A description of the mitigation action; b. The expected time frame for implementation; c. Indicators of implementation of the action; (not tons, but others, e.g. GW) d. Its estimate of the incremental costs of the mitigation action; e. The technology transfer requested f. Capacity-building required to implement the mitigation action, and an estimate of the full agreed costs of activities enabling the action; g. Its estimate of the mitigation result, understanding that the commitment is to implement the action and not to the outcome; and h. Benefits for local sustainable development. New Zealand: Methodologies for proposed actions will be essential in order to establish baselines and to quantify emission reductions in an uncapped environment on a project by project basis. Australia: strike a balance between enough detail and standardization of information; should not create a barrier to registry use. Brazil: The registry should only include large mitigation programs, including forestry initiatives. (April 2009) Korea: “there could be flexibility about the aspect of estimated emission reduction. The requirement of specifying effects of actions, if any, should not place a hurdle for developing countries to receiving support for realizing their mitigation potential.”
		4. MRV framework of the proposed action	
		5. Coherence with national policy and co-benefits	
		6. Methodology for calculating emission reductions	
		7. Prioritization in country	
		8. Indicators of implementation	
		9. Estimated emission reductions	
		10. concrete proposals that have real prospect to be implemented	
		1. Support available	
		2. How to access finance, eligibility criteria	
	Suggested guidelines for submitting information related to support available and provided	3. Support agreed and confirmed	Pakistan: support available; support agreed and confirmed; support provided; and, certification of support received. United States: information provided by developed country Parties on support should be organized and presented to create a useful resource describing climate finance channels according to the thematic areas and geographic areas they support, links to their eligibility criteria and project cycle descriptions, as well as information about projects recently financed. Switzerland: information on potential sources of support and the conditions for their disbursement. A Party²³ stressed the importance of encouraging Annex II Parties to present concrete information on support available as this would encourage developing countries to submit concrete proposals, thus making the registry another avenue for recording information on fast start finance.
		4. Support provided	
		5. Certification of support received	
		6. Concrete information only	
		A model presented by Pakistan	
Modalities of registration	Modalities of registration		Pakistan: i. Interim registration once information on NAMAs by seeking international support is provided by the developing countries. ii. Update information once matching of support has been agreed and confirmed.

Issues	Sub-Issues	Options (<u>mutually exclusive options underlined</u>)	Views reflected in UNFCCC party submissions (after Cancun) Views reflected in UNFCCC party submissions (before Cancun) ²⁰ <i>Views of the Transitional Committee Members of the Green Climate Fund</i>
			iii. Registry to recording and regularly update information on NAMAs seeking support once: – Support is actually provided by the developed countries through financial entities under the Convention or other multilateral, regional or bilateral channels. – Certification of support is received by the Registry from the developing countries.

b) The registry and other tools and mechanisms

Issues	Sub-Issues	Views presented in UNFCCC party submissions Views reflected in UNFCCC party submissions (before Cancun) <i>Views of Transitional Committee Members of the Green Climate Fund</i>
Linkages with the NAMAs negotiation	Diversity of NAMAs / reporting format	African group: the registry shall be structured in a manner that allows for the full range of diversity of nationally appropriate mitigation actions to be reflected. Korea: Reporting formats should be designed to help prevent developing countries from making redundant efforts since a single NAMA might be reported via the registry, biennial reports and national communications. Australia: Consistent with this approach, FCCC/AWG/LCA/2011/INF.1 includes some useful information about actions seeking support that could be entered into the registry. The agreed-on actions in this INF-Documents should, as mentioned above, be entered in annexes following the workshop for the purpose of clarifying Parties' mitigation undertakings. India: The first step in setting up a registry is to update the INF-Documents. Korea: The Secretariat would also be able to compile mitigation actions in the INF document in a more arranged manner as a prototype of the registry.
Linkages with recording tools	INF. Documents	Mexico: (in addition to fields for recognizing unilateral NAMAs and matching support for international NAMAs), there should be a field for updating document INF.1. This update will take place every time emission reduction objectives/pledges are presented by developing country Parties not listed before and/or when more ambitious objectives/pledges update those previously presented. African group: Agrees that the only nationally appropriate mitigation actions submitted by non-Annex I Parties expressly for the purpose of inclusion in the registry shall be so included by the Secretariat; aggregate nationally appropriate mitigation actions pursuant to paragraph 49 of decision 1/CP.16 shall not be included in the registry automatically, but only if the developing country concerned requests such inclusion; India: the INF. Document should be updated by the secretariat. "INF I is however not the registry. The registry needs to be designed in such a manner that it captures the support available/provided and the actions taken."

Issues	Sub-Issues	Views presented in UNFCCC party submissions Views reflected in UNFCCC party submissions (before Cancun) Views of Transitional Committee Members of the Green Climate Fund
	Annex/ Appendix/ Schedules	Australia: the registry should be kept distinct from the higher-order process of elaborating and inscribing Parties' unconditional mitigation undertakings: a political process at the heart of international climate change co-operation. The registry can however complement the vehicle that inscribes these first order commitments, by providing a technical tool that helps countries pursue further mitigation potential. Actions in the registry that have secured support should be transferred to the Annexes attached to decisions. New Zealand: "the voluntary 'recording' of actions in the registry should not replace the need for parties to inscribe their mitigation actions - the appropriate place for such inscription of these actions is in a schedule or annex." (misc. 8) Inscribing obligations in a treaty or schedules is a separate and higher order exercise, symbolising commitment to meeting the ultimate objective of the Convention. USA: Registered actions that have secured support should move automatically to the Annex of mitigation undertakings (part of the Copenhagen Accord.)
Linkages with reporting tools	National Communications	India: "The information on internationally supported actions to be communicated in the NATCOM will be drawn from the registry set up under para 53." New Zealand: The registry is not a comprehensive reporting vehicle and cannot replace National Communication, including biennial update reports and full national communication. AOSIS: Reporting in the NatCom must go beyond the information reported to the registry in connection with the specific support provided for specific NAMAs. Israel: the Registry should not be a substitute for a comprehensive reporting system; the registry records voluntarily submitted information mainly for matching purpose; the full report of projects should be reported via other channels (i.e. NatCom, BURs). Saudi Arabia: when up and running, the registry will be populated with data from the National Communications and the Biennial Update Report, where guidelines and relation between the registry and NatCom should be defined. Australia: the registry should be kept simple and focused, should not duplicate other mechanisms' functions, such as reporting. Algeria on behalf of the African Group: NAMAs reportable through national communications if unilateral, or in a registry if supported. (April 2009)
	Biennial Update Reports	Costa Rica: The registry reflects intended (ex-ante) NAMAs in an individual form; the Biennial Report provides ex-post updates on aggregated reductions achieved and how it contributes to the national goals, if there were any. India: The registry is the basis of information reflected in the Biennial Reports: mitigation actions, needs and support required should be recorded in the registry; progress in implementing NAMAs, assessment of needs and receiving of support should be reflected in the biennial update report. New Zealand: The registry, combined with MRV and biennial reporting, can facilitate better understanding of mitigation by individual countries, and can provide an overview of aggregated mitigation. The registry combined with biennial reporting will also provide an evidence based platform within the UNFCCC to acknowledge the mitigation actions that are being taken. Korea: hurdles of BURs must be lowered so that as many country can submit BURs. For example, "Biennial Reports, under certain circumstances, could be produced mainly by adopting and slightly modifying the actions that have already been recorded or updated in the registry." AOSIS: linkage between the registry and the BURs is needed when identifying where support would enhance the mitigation outcome. The additional element (of BURs) is for reporting.
Linkages with	MRV of	African Group: IAR of support should include "recipient countries' information (as they will report information on support provided) and

Issues	Sub-Issues	Views presented in UNFCCC party submissions Views reflected in UNFCCC party submissions (before Cancun) Views of Transitional Committee Members of the Green Climate Fund
MRV	support	third party recordkeeping including UNFCCC bodies and the NAMA registry. New Zealand presented a question raised in the informal workshop on MRV and review: is there any role for financial information retained in the registry in effectively reviewing the provision of climate-related support? G77/China: “Manage registry for measuring, reporting and verifying the fulfillment of contributions, financial commitments and the flow of total financial resources to developing countries through all sources/channels, and review the scale of contributions.” New Zealand: ICA should include information in the NAMA registry of non-Annex I mitigation actions, support provided, support needs, and support received.
	“Double-sided MRV” of support and actions	Pakistan: “Registry will have an essential role in the MRV mechanism for both action and support.” Ethiopia: based on the cooperative platform provided by the registry, donor and recipient countries could jointly develop the plan for MRV of the implementation carried and support provided. United States: The registry, which ties funding with actions in need of support, can also help double-sided MRV. Korea: The registry can “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” (2009)
	Green Climate Fund	India: “Since the registry has to perform the facilitation function for supporting the nationally appropriate mitigation actions, the registry should be an arm of the Green Climate Fund (GCF) and should act as the financing window of the NAMAs.” This will satisfy the requirement of paragraph 57 of the Cancun Agreements. Australia: “The registry must be functionally independent of the operating entities of the UNFCCC financial mechanism”: the governing body of the GEF/GCF will determine to which extent they will draw information from the registry. Australia: <i>there should be no formal linkages between GCF and the climate registry (TC submission Aug 11), in order to ensure the independence of GCF and the single responsibility line with the COP.</i> Barbados mentioned that links with the NAMAs registry is important (TC Bonn Workshop);
Linkages with the financial mechanism	Standing Committee	Korea: defining the functional relationship between the registry and financial mechanisms should be a priority. EU: in order to perform its functions, the Standing Committee should draw on information from all available sources, such as the registry, etc. The Standing Committee should not be a mechanism for MRV. Pakistan: Given the matching of support function, the Registry should essentially be part of the Financial Mechanism of the Convention and should operate under the Standing Committee on Finance which also has a key function of MRV of support as contained in Decision 1 CP 16 paragraph 112. In addition to registration and recoding, the Registry should report on the following to the Standing Committee; a. NAMAs seeking support and support needed; b. Support available and support provided. c. Support received by the developing countries. d. Gaps in action and support. Pakistan also suggested establishing a “financial support registry”. Australia, Canada, Japan, New Zealand, United States: the Standing Committee should provide to the SBI a biennial overview of climate finance flows, drawing on various sources of information including the registry. African group suggested draft texts, including “Decides that registration of a nationally appropriate mitigation action shall, at the discretion of the developing country submitting the action, trigger a request to the Financial Mechanism and Technology Mechanism of the Convention to facilitate the matching of support.” Philippines: On behalf of G77 and China, they see the registry as managed by the Standing Committee to measure, report, and verify finance.

Issues	Sub-Issues	Views presented in UNFCCC party submissions
		Views reflected in UNFCCC party submissions (before Cancun)
		<i>Views of Transitional Committee Members of the Green Climate Fund</i>
Linkages with other mechanisms	Technology Mechanism	African group suggested draft texts, including “Decides that registration of a nationally appropriate mitigation action shall, at the discretion of the developing country submitting the action, trigger a request to the Financial Mechanism and Technology Mechanism of the Convention to facilitate the matching of support.”
	Market Mechanisms	AOSIS: for participating in future market-based mechanism, non-Annex I countries should maintain units, once issued, in an approved registry; Annex I countries should have in place a national registry. Actions funded through market-based offsetting mechanisms must be reported separately from supported actions within the CRF tables and in the registry. The registry and CRF tables should assist in tracking domestic contributions to global emission reductions. It will be important to ensure that the registry does not lead to double counting emission reductions between developed and developing countries.

Appendix II. Overview of Existing and Proposed UNFCCC Tools to Record, Report and Review Actions and Support²⁴

Tools	Party Groups ²⁵	Definition/Content	Timeline/Frequency
Recording Tools			
“INF. Documents”	Developed Countries	Compilation of economy-wide emission reduction targets to be implemented by Parties included in Annex I to the Convention (FCCC/SB/2011/INF.1) ²⁶ comprises information on the economy-wide emission reduction targets of these parties for 2020 and, where available, beyond that date, as well as associated context, conditions and considerations.	A revision of this document was released on 7 June 2011. ²⁷
	Developing Countries	Compilation of information on nationally appropriate mitigation actions to be implemented by Parties not included in Annex I to the Convention (FCCC/AWG/LCA/2011/INF.1) ²⁸ presents the information communicated by Non-Annex I Parties on overall national objectives for reducing emissions, specific NAMAS that these parties intend to implement, as well as the related context, conditions and considerations associated with these mitigation actions, including with regard to the support required for their preparation and implementation.	The document was released on March 17 2011, as requested by the COP in Cancun. ²⁹
	Developing Countries	Paragraph 50 of the Cancun Agreements invites developing countries that wish to voluntarily inform the Conference of the Parties of their intention to implement nationally appropriate mitigation actions in association with this decision to submit information on those actions to the secretariat. Paragraph 59(b) requests the secretariat to record and regularly update such information in a separate section of the registry .	Voluntary submission at any time.
Registry (under development)	All Countries	According to the Cancun Agreements, the registry will record nationally appropriate mitigation actions seeking international support and facilitate matching of finance, technology and capacity-building support for these actions. The registry will also recognize nationally appropriate mitigation actions of developing countries in a separate section of the registry.	in discussion
Reporting Tools			
Information Document on Fast-Start Finance	Developed Countries	Submissions on information from developed country Parties on the resources provided to fulfill the commitment referred to in decision 1/CP.16, paragraph 95 (FCCC/CP/2011/INF.1) ³⁰ The Conference of the Parties (COP) at its sixteenth session invited developed country Parties to submit to the secretariat on the resources provided to fulfill the commitment by developed countries to provide new and additional resources, including forestry and investments, through international institutions, approaching USD 30 billion for the period 2010–2012, with a balanced allocation between adaptation and mitigation, including ways in which developing country Parties access these resources.	The COP at its sixteenth session invited Parties to submit information by May 2011, 2012 and 2013 to be compiled. The current available document contains information provided by developed country Parties by 2011, and was released on August 15 2011.
National Communications (NatCom)	Developed Countries	Annex I NatCom contains information on national greenhouse gas (GHG) emissions, climate-related policies and measures, GHG projections, vulnerability and adaptation to climate change, financial assistance and technology transfer to non-Annex I	The NatCom report is produced every 4-5 years; the next (sixth) NatCom is due on 1 January 2014.

Tools	Party Groups ²⁵	Definition/Content	Timeline/Frequency
National GHG Inventories		Parties, and actions on raising public awareness on climate change. ³¹ The Kyoto Protocol has introduced additional requirements for Annex I NatCom.	
	Developing Countries	Non-Annex I Parties are requested to report in a general manner on programs containing mitigation measures. In Cancun, Parties agreed to enhance reporting by NA1 Parties on 1. Inventories 2. Mitigation actions and their effects; 3. Support received. The full cost of preparing NatCom should be covered by developed countries, with funding currently channeled through the GEF and bilateral agencies. A Consultative Group of Experts (CGE) exists to improve the process of preparation of NA1 NatCom. The secretariat prepares compilation and synthesis reports. ³²	Irregular, not more onerous than that for Annex I countries; many NA1 countries are preparing their second NatCom.
	Developed Countries	The UNFCCC requires the submission of inventories by all parties. Annex I National Inventories are required in accordance with the guidance for national inventory preparation developed by the IPCC, and comprise a National Inventory Report (NIR) and Common Reporting Format (CRF) tables. The Kyoto Protocol introduces additional requirements for Annex I Parties. ³³	Annual
	Developing Countries	Developing countries report on GHG inventories in their Biennial Update Reports using 1996 IPCC guidelines.	same as the Biennial Update Reports
	Developed Countries	According to the Cancun Agreements, Biennial Reports will include information on progress in achieving emission reductions: 1) Mitigation actions to achieve their quantified economy-wide emission targets; 2) Emission reduction achieved; 3) Projected emissions; 4) The provision of financial, technology and capacity-building support to developing country Parties.	Biennial, but the date of the first BR is still undecided.
Biennial (Update) Reports (under development)	Developing Countries	According to the Cancun Agreements, Biennial Update Reports will include information on 1) Updates of national greenhouse gas inventories, including a national inventory report and 2) Information on mitigation actions, needs and support received. ³⁴	Biennial, but the date of the first BUR is still undecided.
Review Tools and Procedures			
In-depth Review	Developed Countries	A process by which an Annex I Party's implementation of the Convention and/or the Kyoto Protocol is technically assessed by international teams of experts. Non-Annex I NatCom is not subject to in-depth review.	Same as Annex I NatCom
Review of National Inventories	Developed Countries	Annex I Parties' annual GHG inventories are reviewed annually by expert review teams. The Kyoto Protocol introduces additional requirements for Annex I National Inventories in order to evaluate their compliance with emission reduction targets.	Annual
IAR, ICA, and other processes (under development)	Developed Countries	Paragraph 44 of the Cancun Agreements decides to establish a process for international assessment of emissions and removals related to quantified economy-wide emission reduction targets under the Subsidiary Body for Implementation, taking into account national circumstances, in a rigorous, robust and transparent manner, with a view to promoting comparability and building confidence.	In discussion

Tools	Party Groups ²⁵	Definition/Content	Timeline/Frequency
	Developing Countries	According to the Cancun Agreements: 1) Internationally supported mitigation actions will be measured, reported and verified domestically and subject to international measurement, reporting and verification, 2) domestically supported actions will be measured, reported and verified domestically, and 3) International consultations and analysis of biennial reports will be conducted by technical experts under the SBI, aiming to increase transparency of actions and their effects.	In discussion
2013-2015 Review (under development)	All Countries	According to the Cancun Agreements, this process will review the adequacy of the long-term global goal, in the light of the ultimate objective of the Convention, and overall progress towards achieving it, in accordance with the relevant principles and provisions of the Convention	Periodic; initial review to take place between 2013 and 2015

Appendix III. Current Monitoring and Tracking Initiatives

The following tables of initiatives are organized under a) UNFCCC initiatives; b) initiatives hosted by OECD, MDBs, or UN Agencies; c) voluntary consortium of countries or cities; d) NGOs and the private sector.

a) UNFCCC Initiatives

Initiatives	Host Format	Purpose and Information Tracked	Tracking Methods
Finance Portal for Climate Change³⁵	UNFCCC Secretariat, in response to Parties' request	The purpose of the portal is to assist Parties in monitoring the financial mechanism of the Convention through the provision of information on bilateral, multilateral and regional sources provided by developed countries, and inform the inter-governmental process particularly on the preparation of NatCom. The portal is consisted of three modules: “National Communications” is the only module that is formally launched. It presents information communicated by Annex II Parties on the provision of financial resources through their fourth or fifth national communication. “Fast-Start Finance”: self reported by developed countries on funding provided and how to access these funding, which will include the original submissions, a database and a map. “Funds managed by the GEF” is a joint effort by the secretariat of the UNFCCC and GEF, recording funding channeled, mobilized, and leveraged by the GEF.	Information is self-reported by developed countries, either through NatCom or directly to the website. Processed information in the NatCom module is searchable and downloadable, including bilateral and multilateral channels, as well as amount of contributing and receiving.
	First version available on the UNFCCC website		
CDM Bazaar³⁶	UNFCCC and UNEP in response to a CDM Executive Board mandate	The CDM Bazaar is a platform for exchange of information on Clean Development Mechanism (CDM) project opportunities. The UNFCCC CDM Bazaar has three main market corners: The Seller section, the Buyer section and the Service provider Section. The Seller section shows seller profiles and the projects which have been added. In this section you can view seller entries and find projects at various stages from project ideas through issued CERs for sale. The Buyer section shows profiles of buyers. In this section you can view buyer entries and purchasing profiles of buyers in the carbon market. The Service provider section shows profiles of companies who offer carbon market technologies and services.	Market players (Sellers, Buyers, and Service Providers) can upload User Profiles for other Users to view. They can also upload information of specific projects or make notices of Certified Emissions Reductions (CERs) for sale. The CDM Bazaar is a facilitative platform and does not serve as a “deal maker”. It helps reduce the transaction costs of CDM projects.
	Web-based facility		

Initiatives	Host Format	Purpose and Information Tracked	Tracking Methods
International Transaction Log (ITL) of the Clean Development Mechanism ³⁷	UNFCCC Secretariat	Verifies and approves trading proposals from National Registries.	The ITL is connected with CDM registry and National Registries. Each registry sends transaction proposals to the ITL, which checks the proposal and returns to the registry its approval or rejection. Once approved, registries complete the transaction. In the event that a transaction is rejected, the ITL sends a code indicating which ITL check has been failed and the registry terminates the transaction. ITL administrators organize forums of registry system administrators. The technical function of the ITL is outsourced to IT companies.
	Online platform, responding to information in seconds.		

b) International Organizations (OECD, MDBs, other UN Agencies) Initiatives

Initiatives	Host(s) Format	Purpose and Information Tracked	Tracking Methods
CLIMATE CHANGE RELATED INITIATIVES			
Climate Finance Options ³⁸	World Bank and UNDP	Providing comprehensive guidance on financial options available for climate action in developing countries. There are three sections on the website:	The information is compiled by UNDP and World Bank. It serves mostly as an information portal of finance sources available; it is an interactive tool where information is easy to find. Besides funding sources, it also encourages producing lessons learnt from accessing finance. Detailed information provided in the "Funding Sources", information in "On the Ground" and "Knowledge Center" sections together contribute to capacity building in developing countries.
	Interactive website launched on November 30, 2010. Regularly updated.	"Funding Sources" shows which sources are available, project cycle in different funds, whether projects are eligible, and how to access certain funds. "On the Ground" shows cases studies of projects that have already accessed funding. Both sections can be searched by region, focal area, sector and financial instruments. "Knowledge Center" is a library of targeted financial documents and project guides and a compilation of online tools for financial and project analysis.	
Sustainable Energy Finance Initiative ³⁹	UNEP, BASE Public-private networking forum	Promote, facilitate and support increased investment in energy efficiency and renewable energy.	Facilitate networks, create partnerships, develop tools, publish studies, and conduct briefings.
AID DATA RELATED INITIATIVES, WITH CLIMATE INDICATORS			
OECD Development Assistance Committee (DAC)	OECD and World Bank	The CRS collects and monitors official financial contributions from developed countries. Countries report individual aid activity of the Official Development Assistance and other official flows; Countries report on sector, purpose, policy objective, type,	Self-reporting from 23 countries and 12 multilateral agencies under a descriptive "marker" system that identifies the objective of the aid and a quantitative purpose code system that identifies the sector of the supported activity. Information is collected when contracts are signed.

Initiatives	Host(s) Format	Purpose and Information Tracked	Tracking Methods
Creditor Reporting System (CRS)⁴⁰	Online database established in 1967.	channel, donor or recipient of each activity.	- DAC member countries, since 2007, are required to apply a 'Rio Marker' related to climate change mitigation to their reported official development assistance to the CRS. On January 1, 2010, DAC members also began to apply a new adaptation marker when reporting aid to the CRS. MDBs report based on their own mandates and operations, with little or no coordination among MDBs or with other international reporting systems such as the UNFCCC. They often use different indicators to classify projects and to track the performance of projects. Most have public databases and search engines with limited search capabilities available online, but their degree of information and user friendliness varies greatly. The World Bank in particular is introducing a system for tracking direct climate co-benefits in its entire portfolio through a desk review for FY11 and mandatory coding starting July 2011 for FY12.
MDBs Reporting⁴¹	Individual MDB Format is according to individual MDB	Individual MDB activity	
FOREIGN DIRECT INVESTMENT			
UNCTAD⁴²	United Nations Conference on Trade and Development (UNCTAD) Online database	Foreign direct investment (FDI)	Data is aggregated in an online database that does not break down FDI by sector; however, UNCTAD does provide some sectoral data in its annual World Investment Report. As is the case with other reporting systems such as the OECD CRS, the sectoral classifications make it difficult to distinguish whether or not the funds are supporting climate change objectives.

c) International Consortium of Countries or Cities

Initiatives	Host(s) Format	Purpose and Information Tracked	Tracking Methodology and Comments
Fast Start Finance⁴³	Initiated by the Netherlands, supported by UK and other countries; maintained by UNDP. A website. Launched in September, 2010.	The initial goal was to provide an overview of FSF before Cancun. "Contributing Countries" section provides numerical information on each country's pledges and commitment. "Recipient Countries" section provides numerical information on countries' received FSF. Information is incomplete, and only provides how many programs were set up in several countries. Other sections provided very brief overview of FSF and long-term finance.	Countries voluntarily maintain their country page on the website.

Initiatives	Host(s) Format		Purpose and Information Tracked	Tracking Methodology and Comments
Voluntary REDD+ Database ⁴⁴	REDD+ Partnership		Provide information on REDD+ financing, actions, and results - Information is US dollar denominated. The database differentiates between “planned arrangements” and FSF pledges, with FSF being indicative and not allocated to specific countries.	Collection of data are called by co-Chairs of REDD+ Partnership; VRD sends out questionnaire to database focal points to collect information; also receive online data submission at anytime - The only tracking tool that actually tracks NGO funding. - It is originated from the REDD+ Financing and Activities Survey, which are similar to “a compilation of INF documents”, as suggested by some Parties. The UNFCCC Secretariat could also replicate the efforts. - The different made between “arrangements” and “FSF pledges” mostly corresponds with ex-post support provided and ex-ante support available. Only the defined “FSF pledges” are highly indicative and does not provide concrete information on available support.
	REDD+ Partnership Website with interactive map.			
Carbonn Cities Climate registry ⁴⁵	By consortium of local cities, for local cities		Cities and local governments to publicly register their greenhouse gas reduction commitments, report performance and showcase actions.	- Reported by cities signed on to the Mexico City Pact - Mostly focusing on measurement and reporting, verification is pending - The Bonn Center for Local Climate Action and Reporting - carbonn® will collect and compile data provided by cities, as well as ensure continuous improvement of the system and help build cities' capacity to measure and report their climate information.
	A consortium.			

d) NGOs and Private Sector Initiatives

Initiatives	Host/Product	Purpose and Information Tracked	Tracking Methodology and Comments
T-MAPPER⁴⁶	Commissioned by EC; conducted by ISIS, ECN, CAP-ASIA, and EMBARQ, GIZ.	Understand and support the actions being taken outside of the European Economic Area (EEA) to mitigate transport emissions	Transport Measures And Policies to Promote Emission Reductions (T-MAPPER) - Identifying ways for EEA countries to provide support; - Identifying policies in NON-EEA countries - Can voluntarily submit information on the website
Climate Funds Update⁴⁷	ODI, BOELL A database style website. Monthly updated.	A website listing all the information on climate funds and funded projects. - Information on funds is very robust, including financial pledges vs. deposited, approved vs. disbursed, governance structure, and access modalities, etc. - It allows to search projects under each fund, but only provide financial information.	Information collected from websites and document, and through conversation with fund managers - It is less of a tool but a database of details regarding funds. It is not easy for countries to learn how to access funding or getting to know which sources are available from this source, but mostly learn about which funds exist and their governance structure. - The documents provided are more for research and policy advocacy, rather than accessing funding. - It is best used for MRV of finance and policy research.
Fast-Start Finance Tracking⁴⁸	World Resources Institute. In the form of a periodically updated briefing paper	Tracking developed countries' FSF flows, with analysis on "new and additional," breakdown of channeling institutions, thematic areas.	Independent NGO tracking fast-start finance flows; - Third-party tracking with information drawn from voluntary reporting and other resources. - Does not quite help developing countries to access funding, but performs as MRV of finance.
Bloomberg New Energy Finance⁴⁹	Bloomberg New Energy Finance	Annual venture capital, government and corporate R&D, projects, and equity investments in renewable and energy efficiency in major countries and regions	New Energy Finance compiles its data in online databases and using other investor-targeted tools that are available for a fee. It also publicly issues an annual report in conjunction with the UNEP Sustainable Energy Finance Initiative (SEFI), which outlines investment trends in renewable energy and provides aggregate statistics by transaction type, technology, geographic distribution, and source.
Project Catalyst⁵⁰	Project Catalyst	Tracking of fast-start finance, and mapping of current international climate flows and future needs	See: Project Catalyst. 2010. Making Fast-Start Finance Work. Briefing Paper. June 7 2010. Project Catalyst. 2010. From Climate Finance to Financing Green Growth. Briefing Paper. Nov 23, 2010.
AidData⁵¹	Development Gateway, William & Mary, Brigham Young University The core is the AidData web portal	Enhanced CRS data with new information from individual donor and project reports from both bilateral and multilateral aid agencies.	Development assistance is sorted by donor, recipient, purpose, activity/sector, and commitment/disbursement amount. AidData also created new markers for categorizing environmental aid.

Initiatives	Host/Product	Purpose and Information Tracked	Tracking Methodology and Comments
NAMAs Database 52	Maintained by Ecofys, supported by German government	“The NAMA Database is an expanding resource containing the latest activities taking place around the world on Nationally Appropriate Mitigation Actions. Our mission is to create a valuable source of information for policy makers, researchers and other interested stakeholders to increase knowledge-sharing and cooperation in this emerging field. “	“The aim is to create a collaborative website where hosts, donor countries and practitioners can submit information on NAMAs and experiences. The focus is on concrete NAMA activities and proposals that are currently being developed and implemented. This database will be open to all for making contributions and will be moderated by experts in the field. Data will be made available in open data standards for reuse by researchers and other interested parties.”
Open Climate Network ⁵³	World Resources Institute; partner organizations	“The Open Climate Network (OCN) is an independent, international partnership that tracks and reports on the progress of key countries on climate change. The network seeks to accelerate progress toward a low-emissions future by gathering, analyzing, and sharing information related to national climate policies around the globe. ” - Assess whether country efforts are adequate, using country's proposals and projected actions, and put countries in the categories of role model, sufficient, medium, and inadequate.	OCN is currently pilot-testing assessment tools to track: (1) implementation of policies to reduce GHG emissions, (2) the extent to which countries are achieving low-carbon growth and competitiveness, and (3) climate finance that developed countries are providing to developing countries.
Climate Action Tracker ⁵⁴	Climate Analytics, Ecofys		- Similar to the proposed function of recognizing NAMAs of developing countries.

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Endnotes

1. Also see Appendix II. Overview of Existing and Proposed UNFCCC Tools to Record, Report and Review Actions and Support.
2. According to definitions in the UNEP Southeast Asian Network of Climate Change Focal Points, Introduction to the Concept of Nationally Appropriate Mitigation Actions (NAMAs), National Appropriate Mitigation Actions by developing country Parties can be categorized into 1) Unilateral NAMAs without outside support, 2) Conditional NAMAs (internationally supported NAMAs) receiving international support, and 3) Credited NAMAs, creditable and tradable in carbon markets.¹ All TWG working papers on the climate registry, its potential relationship with UNFCCC mandated funds, private finance, and in the context of REDD+ and adaptation are listed in the Bibliography at the end of this report and can be downloaded from <http://www.climateregistryoption.org/documents>.
3. Barbara, B et al. 2011. "Monitoring and Tracking, Long-term Finance to Support Climate Action", OECD, May 2011.
4. Partners of Bridging the Gap (bridging the gap between sustainable transport and climate change): GIZ, Transport Research Laboratory, Venolia, International Association of Public Transport, and Institute for Transportation and Development and Policy
5. Over 50 organizations have jointed the SLOCAT partnership, including UN organizations, multilateral development banks, technical cooperation agencies, NGOs, research organizations and other organizations.
6. See Appendix 3.
7. For definition and explanation of UNFCCC reporting tools, please see Appendix II.
9. UNFCCC Secretariat, Notes on the registry prepared by the Facilitators, June 2011.
10. Party submissions prepared and released after Panama are not included in the mapping. These submissions are mostly comments on the non-paper prepared by the co-facilitators; therefore relevant opinion should be reflected in the revised non-paper, available online at <http://unfccc.int/bodies/awg-lca/items/6223.php>.
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17. Submission can be found in Misc. 8 under developing country mitigation.
18. The "prototype registry" concept has been mentioned in the summary of negotiations on the registry at Bonn and the non-paper by the co-facilitators at Panama, referring to a pilot phase of the registry. The initiatives reviewed in this section are monitoring, tracking, and matching initiatives that can be modified to become the "prototype registry" or can provide lessons learnt for the registry.

19. Most views expressed after Cancun are directly retrieved from Party and GCF TC submissions; supplemental information on views expressed before Cancun are excerpted from the WRI working paper on overview of UNFCCC submissions, and from the ENB coverage for views expressed after Cancun. The authors took the liberty to organize country submissions into categories and to summarize them but there are arguably other interpretations and the table is not meant to perfectly represent full Party positions.
20. Dates of submissions have been provided for views expressed before December 2009.
21. Ethiopia introduced in idea of MAMAs (Mutually Appropriate Mitigation Actions), in FCCC/AWGLCA/2011/MISC.3/Add.2.
22. NAMAs not seeking support refer to both domestically supported NAMAs and already supported NAMAs.
23. The view is captured in the Facilitator's notes on the registry in Bonn, June 2011, but the name of the party is not disclosed.
24. For an in-depth discussion of such tools and procedures, please review Fransen. "Enhancing Today's MRV Framework to Meet Tomorrow's Needs: The Role of National Communications and Inventories." and Remi et al. "Counting the Cash: Elements of a Framework for the Measurement, Reporting and Verification of Climate Finance."
25. In this table, groups of countries are referred to as "Developed Countries" and "Developing Countries". In official documents, countries may be grouped under "Developed and Developing Countries" or "Annex I and Non-Annex I Parties".
26. The document is available online at <http://unfccc.int/resource/docs/2011/sb/eng/inf01r01.pdf>
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Technical Working Group

The “Technical Working Group on the International Architecture for Climate Finance” (TWG) was founded in early 2009 to develop practical arrangements to support a post-2012 climate agreement. The TWG is composed of experts from developing and developed countries and operates through face-to-face meetings, electronic and phone consultations, the production of documents, and the commissioning of studies.

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