



**European Committee  
of the Regions**

# **An overview of regions and cities with-in the global climate change process - a perspective for the future**

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**It does not represent the official views of the Committee of the Regions.**

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# Table of Contents

<b>Introduction</b>	<b>1</b>
<b>PART I – Historical overview of the presence of cities and regions within UNFCCC process</b>	<b>3</b>
1.1 <i>Key milestones (1993 – 2006)</i>	3
1.2 <i>Key milestones (2007 – 2012)</i>	5
1.3 <i>Key milestones (2013 – 2015)</i>	9
1.4 <i>Case studies</i>	15
1.4.1 <i>Case study 1 - Focus: Warsaw and Climate action</i>	15
1.4.2 <i>Case study 2 - Focus: Basque Country and multi-level governance and support for climate action</i>	19
<b>PART II – Key requests from Cities and Regions</b>	<b>25</b>
2.1 <i>Key requests prior to COP21</i>	26
2.2 <i>The road ahead: cities and regions requests</i>	27
<b>PART III – Opportunities within the UNFCCC process</b>	<b>33</b>
3.1 <i>Interests of Cities and Regions</i>	33
3.2 <i>Options to support Cities and Regions within UNFCCC</i>	33
3.2.1 <i>A collection of concrete and practical suggestions</i>	33
3.2.2 <i>Concretely plan an IPCC report on Cities and Regions</i>	39
3.2.3 <i>Quantitative potentials and options to act for Cities and Regions</i>	41
3.3 <i>Mapping the financial opportunities for Cities and Regions</i>	41
<b>PART IV – Summary of Paris Agreement</b>	<b>49</b>
4.1 <i>The Paris Agreement</i>	49
4.2 <i>Explicit references to cities and regions in the Paris outcome</i>	51
4.3 <i>Processes and mechanisms relevant to cities and regions</i>	55
4.4 <i>Access to UNFCCC funding mechanisms</i>	58
4.5 <i>Entry points for influencing national governments</i>	60
4.6 <i>Summary requests and positions</i>	61
<b>PART V – Next steps in the climate negotiations</b>	<b>65</b>
5.1 <i>Avenues for cities and regions to promote outstanding requests</i>	66
<b>Conclusions</b>	<b>73</b>
<b>Annexes</b>	<b>75</b>
<i>Annex I: Options for concrete action for Cities and Regions</i>	75
<i>Annex II: On the Lima-Paris Action Agenda (LPAA)</i>	80
<i>Annex III: Specific action within bodies within the UNFCCC process</i>	84
<i>Annex IV: Ongoing deliberations within the CoR</i>	87

<i>Annex V: Initiatives in the ongoing UNFCCC procedures</i>	89
<i>Annex VI: Quantitative potentials and options to act for Cities and Regions</i>	95
<i>Annex VII: Supporting arguments from scientific journals</i>	98

## Table of figures

Figure 1: AIDAR methodology.....	22
Figure 2: From Bali 2007 to Paris 2015: advocacy achievements of local and sub-national governments .....	25
Figure 3: Share of climate finances directed to urban projects.....	42
Figure 4: Breakdown of EIB Climate Action Financing by themes.....	43
Figure 5: Breakdown of EIB Climate Action Financing by countries.....	43
Figure 6: The EIB response to shortfalls in climate policy.....	44
Figure 7: The EIB says to take action. ....	45
Figure 8: Global landscape of Climate Finance.....	45
Figure 9: Sources, actors and instruments in global climate finance.....	47
Figure 10: Trends in bilateral climate-related ODA .....	47
Figure 11: NDC cycle .....	49
Figure 12: Key Questions for the Design of the Global Stocktake.....	55
Figure 15: The new Covenant of Mayors (Mijatovic, 2016). ....	83
Figure 16: Structure of the UNFCCC process and its bodies .....	84
Figure 22: Emission reduction impact as found in the study UNEP (2015).....	96
Figure 24: A typology of climate adaptation action .....	99
Figure 25: Official meetings in the UNFCCC daily programs during COPs 2010-2011 by days.....	100
Figure 26: Official meetings in the UNFCCC daily programs during COPs 2010-2011 by themes.....	100
Figure 27: South-South climate flows.....	101

# Introduction

The engagement of all levels of government – local, sub-national and national - is crucial to tackle effectively climate change<sup>1</sup>. Policies and plans, as well as actions, at national and sub-national level are interlinked and dependent, and coherence among them is necessary to successfully achieve climate targets. The sub-national level has engaged in the climate negotiations since the very beginning, demonstrating high level of commitment and ambitiousness. As the level of government closest to the citizens, local governments have the possibility to impact directly on the life of their communities they administrate and to engage citizens and private sectors in contributing to sustainable climate actions.

Within the intergovernmental climate change process, under the auspices of the United Nations Framework Convention on Climate Change (UNFCCC), the national level defines strategy and policy to guide, steer, and ideally support effective climate action at all levels of government. To enhance local and sub-national climate action, it is essential to ensure recognition of the important role of local and sub-national governments play, as well as to enable their engagement and empowerment within the national and global processes.

Since 1995, local governments and their organizations have not only used the Conference of the Parties to the Kyoto Protocol (COPs) to demonstrate their own achievements, but they have also interacted with national governments and international agencies in order to strengthen the local voice and to demonstrate the high potential that local government has in supporting the implementation of the climate agreements.

While the Paris Agreement provides a clear reference to the role of cities and regions as non-party stakeholders, local governments need favorable framework conditions, both at the national and international level, able to allow them to unfold fully in regards to climate protection, energy saving and efficiency and promotion of renewable energy.

This report will provide an overview of the process that lead to the Paris Agreement, highlighting the main achievements for local and subnational governments. It will provide an account of the opportunities ahead for these actors to raise their level of participation in the climate negotiations process. Upcoming funding and engagement opportunities will also be highlighted,

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<sup>1</sup> As Jean Claud Juncker recently declared “(...)The fight against climate change (..) will be won or lost on the ground and in the cities where most Europeans live, work and use about 80% of all the energy produced in Europe”. Extracted by the State of the Union Speech, 9 Sept. 2015.

together with a set of recommendations on the requests by cities and regions and on the next steps towards COP 22.

# PART I – Historical overview of the presence of cities and regions within UNFCCC process

This chapter provides an overview of the historical pathways of engagement of cities and regions within the UNFCCC process, through outlining the historical background of the key results achieved by these actors, from the establishment of the Local Government and Municipal Authorities (LGMA) Constituency, to the recognition of the role that local and sub national governments at COP21. It also showcases two examples, the City of Warsaw and the Basque Country, of how sub-national authorities fostered the recognition and inclusion of Local Governments within the international climate arena, through their activities and commitment.

## 1.1 Key milestones (1993 – 2006)

From 1993 until 2006 local and subnational leaders focused large part of their effort on raising awareness and in advocating for the recognition of the importance of local action against climate change.

The first milestones come in response to the slow uptake of local action within national-level climate frameworks, and at the second **Municipal Leaders' Summit on Climate Change**<sup>2</sup> in 1995, in Berlin municipal leaders present a **communiqué** to the COP recommending to create a **local authority subsidiary body to support local authorities' efforts**, in order to help UNFCCC signatories comply with the agreement signed.

The communiqué was supported by 150 local authorities and municipal organisations from more than 50 countries, representing more than 250 million people worldwide. The result of this request was the **establishment of the Local Authorities and Municipal Authorities (LGMA) Constituency**, alongside business and environmental NGO groups. Within the UNFCCC process, constituencies, with their own Focal Point, cluster and represent non-governmental organizations admitted as observers at sessions of the Convention bodies. They actively and systematically communicate with the UNFCCC Secretariat and the Parties.

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<sup>2</sup> The first Municipal Leaders Summit was organized by ICLEI in New York, in 1993.

Following COP1, at COP3, COP8<sup>3</sup>, COP10<sup>4</sup> and COP12<sup>5</sup> local and sub-national governments continued their engagement and advocacy through adopting and launching a series of Declarations and Statements in order to mobilise local action for climate protection and to highlight the importance of fostering the cooperation among government levels.

## **The World Mayors Council on Climate Change (WMCCC)**



The World Mayors Council on Climate Change (WMCCC) is an alliance of committed local government leaders concerned about climate change. They advocate for enhanced engagement of local governments as governmental stakeholders in multilateral efforts addressing climate change and related issues of global sustainability.

The mission of the WMCCC is to strengthen political leadership on global sustainability and advocating for local governments' role on global sustainability matters. The WMCCC showcases local actions that contribute to policy change at global level, supports climate leadership capacities and it has been advocating from its inception in the United Nations forums related to global sustainability. Members often pronounce speeches during the plenaries before national delegations negotiating the international climate regime.

The Council was founded in December 2005 by Yorikane Masumoto, Mayor of City of Kyoto (Japan) at the time, soon after the Kyoto Protocol entered into force in February 2005.

There are presently over 80 members of the Council, representing a vast network of local governments working to reduce global greenhouse gas emissions. Membership is open to Mayors and equivalent leaders of municipal levels of government.

The Council's members have increasingly participated in local governments' advocacy efforts, in particular during United Nations negotiations on climate change and biodiversity..

The Chair of the Council is Park Won-soon, Mayor of Seoul, South Korea.

<sup>3</sup> ICLEI (2003), COP-8: The Local Government Perspective, *Summary of Proceeding*. Available from [http://archive.iclei.org/fileadmin/template/project\\_templates/climate-roadmap/files/LG\\_at\\_COPs/ICLEI\\_cop8.pdf](http://archive.iclei.org/fileadmin/template/project_templates/climate-roadmap/files/LG_at_COPs/ICLEI_cop8.pdf).

<sup>4</sup> ICLEI (2004), Local Government Leaders' Statement at the Tenth Conference of the Parties to the UN Framework Convention on Climate Change. Available from [http://archive.iclei.org/fileadmin/template/project\\_templates/climate-roadmap/files/LG\\_at\\_COPs/MunicipalLeadersStatement-COP10.pdf](http://archive.iclei.org/fileadmin/template/project_templates/climate-roadmap/files/LG_at_COPs/MunicipalLeadersStatement-COP10.pdf).

<sup>5</sup> UNEP (2006), *African Cities Symposium on Climate Change*, Nairobi, Kenya, 20 Sept. 2006.



## 1.2 Key milestones (2007 – 2012)

In 2007, with the expiration of the Kyoto Protocol pending, climate negotiations entered into a new phase. The **Bali COP13** in 2007 saw commitment from various nations through the development of the Bali Action Plan<sup>6</sup>, which pushed national governments to adopt “measureable, reportable, and verifiable” GHG mitigation actions, and laid the foundation for further progress on emissions mitigation in a post-2012 climate agreement. Local Government representatives from around the world showed a strong presence at the UN Climate Change Conference in Bali<sup>7</sup>, demonstrating an active role in international efforts to tackle climate change through launching World Mayors and Local Governments Climate Protection Agreement<sup>8</sup>.

A key outcome of COP13 was the establishment in 2007 of the Roadmap to be adopted at the 2009 COP15 in Copenhagen to gear nations towards long-term cooperative action that reduces global emissions up to and beyond the 2012 Climate Agreement in Doha. As the UN Roadmap did not include Sub-national governments, ICLEI its capacity as Focal Point for the LGMA responded to the void by designing with international partners and associations the “Local Government Climate Roadmap” as a parallel and accompanying process.

### The Local Government Climate Roadmap



**Local Government  
Climate Roadmap**

The Local Government Climate Roadmap was launched on 1 December 2007<sup>9</sup> in Bali as a response to the Bali Action Plan, with a view to ensure recognition, engagement and empowerment of local and Sub-national governments in the new global climate regime.

When the Local Government Climate Roadmap was created, the LGMA had only a handful of members, but was – exactly for that reason – always kept open. This allowed cities, regions and their networks that were not accredited to the UNFCCC access to the UN events in order to contribute to the negotiations through interventions and dialogue with national delegations at various Preparatory Committee meetings and sessions.

<sup>6</sup> Report of the Conference of the Parties on its thirteenth session, held in Bali from 3 to 15 December 2007, UNFCCC, 2007. See also: [unfccc.int/resource/docs/2007/cop13/eng/06a01.pdf](http://unfccc.int/resource/docs/2007/cop13/eng/06a01.pdf)

<sup>7</sup> More info at: <http://archive.iclei.org/index.php?id=8392>

<sup>8</sup> In Bali, the World Mayors and Local Governments Climate Protection Agreement was launched. The Agreement states that mayors and local governments accept the challenge and responsibility to lead and take action to combat the dangerous rate of warming of the planet. The Agreement calls for a number of actions, including the reduction of greenhouse gas emissions by 60% from 1990 levels worldwide and by 80% from 1990 levels in industrialized countries by 2050. More info at: <http://archive.iclei.org/index.php?id=8392>

<sup>9</sup> ICLEI (2007), *Mayor Michael R. Bloomberg addresses Delegates at United Nations Framework Convention For Climate Change Conference on behalf of Iclei – Local Governments For Sustainability*. Available from: <http://www.iclei.org/climate-roadmap/advocacy/unfccc/up-to-2007-bali-cop13cmp3.html>.

## Mission of the Local Government Climate Roadmap<sup>10</sup>

- **Recognize:** Local and Sub-national governments are recognized as “governmental stakeholders” of the global climate regime as achieved with para.7 of Cancun Agreements adopted by the COP16 in 2010.
- **Engage:** Local and Sub-national governments should be fully engaged in agenda setting and implementation of global climate regime through partnerships at all levels.
- **Empower:** Availability of and access to financial resources through existing and additional national, international and global finance schemes should be enhanced, in order to enable local and Sub-national governments to fully mobilize their potential, capacity and ambitions for local climate mitigation and adaptation.

## **The Covenant of Mayors**

Launched in 2008, the Covenant of Mayors<sup>11</sup> is the mainstream European movement involving local and regional authorities, voluntarily committing to increasing energy efficiency and use of renewable energy sources on their territories. By their commitment, Covenant signatories aim to meet and exceed the European Union 20% CO<sub>2</sub> reduction objective by 2020. It represents a joint effort of the European Commission and of national administrations to support the implementation of Sustainable Energy Action Plans consistent with the principles, rules, and modalities already agreed upon, and those which may be agreed upon by the Parties for the future at the global level, in particular within the UN Framework Convention on Climate Change (UNFCCC), considering that local governments active involvement in the CO<sub>2</sub> emission reduction could also result in a more ambitious global target.



The first **Local Government Climate Sessions (LGCS)**<sup>12</sup> took place at the 2008 **COP14** in Poznan, Poland, and, in the same year, a draft COP decision<sup>13</sup> for recognition of local governments was officially submitted to the UNFCCC.

Local Governments' advocacy work culminated at **COP 15** in Copenhagen, with a **large-scale mobilization** (more than 1,200 representatives of cities and

<sup>10</sup> <http://archive.iclei.org/index.php?id=9639>

<sup>11</sup> More info available at: [www.covenantofmayors.eu/](http://www.covenantofmayors.eu/)

<sup>12</sup> Poznan International Fair, 10-11 December 2008. *Poznan Session Report*, Available from

[http://archive.iclei.org/fileadmin/template/project\\_templates/climate-roadmap/files/Reports/Poznan\\_Session\\_Report.pdf](http://archive.iclei.org/fileadmin/template/project_templates/climate-roadmap/files/Reports/Poznan_Session_Report.pdf).

<sup>13</sup> Local Government Climate Roadmap. Available from [http://archive.iclei.org/fileadmin/template/project\\_templates/climate-roadmap/files/COP\\_Dec/COP-Decision\\_A4\\_English.pdf](http://archive.iclei.org/fileadmin/template/project_templates/climate-roadmap/files/COP_Dec/COP-Decision_A4_English.pdf).

regions from around the world) to reaffirm the need for a strong and comprehensive post-2012 global climate agreement to be adopted. As such, Copenhagen was a clear demonstration of the success of the first phase of globally coordinated local action, with major milestones including the US Mayors Climate Protection Agreement in 2005 and the European Covenant of Mayors in 2008.

While nations were struggling to agree on a global regime and binding commitments, the Local Government Climate Roadmap released the **Copenhagen World Catalogue of Local Commitment**, capturing more than 3,000 voluntary targets worldwide.

Despite the overall disappointing outcome of the COP15 in Copenhagen, **COP16** in Cancun, Mexico, proved to be an important moment for local and sub-national governments and it resulted in the **first dialogue of local and sub-national leaders with the COP Presidency**, and more importantly, for the first time in history, **local and sub-national governments were officially recognized as governmental stakeholders** in the global climate change regime, **para.7 of Dec.1/CP16<sup>14</sup> of the Cancun Agreements<sup>15</sup>**.

The international community decided on a new process for “anchoring” mitigation pledges by developed and developing countries (with technical work), enhancement of procedures on Measurable, Reportable and Verifiable / International Consultation and Analysis (MRV/ICA), the Green Climate Fund, for fast-start and long-term finance. At the same time, local governments accelerated their commitments through the adoption of the **Mexico City Pact**, which introduced global transparency and accountability of local commitments via voluntary reporting of GHG inventories, climate actions, commitments and targets to the **carbons@ Climate Registry<sup>16</sup>**.

At **[COP17/CMP7<sup>17</sup>](#)** in Durban, South Africa nations agreed on a platform for establishing a Protocol, another legal instrument, or an agreed outcome with legal force under the UNFCCC applicable to all Parties. Nations agreed to adopt, by the latest in 2015, a new legally binding regime in which all nations will be included in both mitigation and adaptation actions, while, building up on a parallel decision, starting a second commitment period under the Kyoto Protocol as of 1 January 2013. While nations have rallied to agree on a deal at

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<sup>14</sup> Local Government Climate Roadmap. *Cancun Outcomes for Local Governments*. Available from [http://archive.iclei.org/fileadmin/template/project\\_templates/climate-roadmap/files/COP16/LG\\_COP16\\_Outcomes.pdf](http://archive.iclei.org/fileadmin/template/project_templates/climate-roadmap/files/COP16/LG_COP16_Outcomes.pdf).

<sup>15</sup> For more information on the Cancun Agreement, see also <http://cancun.unfccc.int/>.

<sup>16</sup> The Mexico City Pact ‘Global Cities Covenant on Climate’ and the carbons@ Cities Climate Registry. Available from UNFCCC: [https://unfccc.int/files/conference\\_programme/application/.../mxc Pact\\_cccr\\_final.pdf](https://unfccc.int/files/conference_programme/application/.../mxc Pact_cccr_final.pdf)

<sup>17</sup> More information about COP17/CMP7 at [http://unfccc.int/meetings/durban\\_nov\\_2011/meeting/6245.php](http://unfccc.int/meetings/durban_nov_2011/meeting/6245.php).

the climate talks, cities have already demonstrated their commitment to climate action by adopting the Durban Adaptation Charter<sup>18</sup>.

### **ADP Process: dialogue with UNFCCC negotiators**

At the 2011 COP in Durban, nations decided to begin the Ad Hoc Working Group on the Durban Platform for Enhanced Action, commonly known as ADP. This new process aimed to build a new climate regime to be adopted in 2015, reinstate the process that stalled at the 2009 COP in Copenhagen and mandate that nations focus on raising pre-2020 ambition.

Between May 2012 and June 2015, a total of 46 speakers from 21 countries, equally balanced between the developed and developing world, participated at ADP events. This included 30 participants representing a city or a region, many of whom were political leaders. Several concrete outcomes of the ADP process have benefited local and subnational governments, including the first workshop on local governments in 2013 in Warsaw, the Cities and Subnational Forum in June 2014 and the Technical Examination Process on Urban Environment in 2014 and 2015. Through these fora, examples of local action were shared with national governments, helping progress dialogue on options for climate action and cooperation among all levels of government – the latter of which is referred to as vertical integration.

The **COP18** in Doha delivered modest steps towards ensuring the integrity of global, rules-based system for climate action. The “Doha Climate Gateway”<sup>19</sup>, the primed outcome of the conference, opened the path to raising greater global action on climate change through its sections on the non-proliferation of negotiation tracks, the extension of the rules-based system for developed countries under the Kyoto Protocol, the confirmation of the establishment new institutions, the introduction of new principles on compensation of loss and damages in developing countries, and the drafting of a new universal climate agreement by 2015. For local and sub-national governments, the Doha outcomes represented a step back, since they did not include any reference to local climate action, despite the very strong statements delivered by countries including US, EU, Brazil, Mexico, Indonesia during numerous sessions before and during Doha Climate Conference.

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<sup>18</sup> The Durban Adaptation Charter for Local Governments is available from [http://archive.iclei.org/fileadmin/user\\_upload/documents/Africa/News\\_and\\_Events/EVENTS/2011/Sept-Dec/Durban\\_LG\\_Convention/Durban\\_Adaptation\\_Charter.pdf](http://archive.iclei.org/fileadmin/user_upload/documents/Africa/News_and_Events/EVENTS/2011/Sept-Dec/Durban_LG_Convention/Durban_Adaptation_Charter.pdf).

<sup>19</sup> Further information on the Doha Conference are available from [http://unfccc.int/key\\_steps/doha\\_climate\\_gateway/items/7389.php](http://unfccc.int/key_steps/doha_climate_gateway/items/7389.php).

### **1.3 Key milestones (2013 – 2015)**

After eight years of mobilization at all levels, the Local Government Climate Roadmap’s goals have been reached as the world headed towards a climate deal at COP21 in Paris 2015, as recognition of local and Sub-national governments (e.g. through COP decisions), engagement (e.g. in ADP Technical Examination Processes, Friends of Cities) and empowerment (e.g. with new financing programs) within the global climate regime have been secured.

#### **Friends of Cities at UNFCCC**

Created in the framework of the Local Government Climate Roadmap, Friends of Cities at the UNFCCC evolved as an informal network of national governments to engage in dialogues among themselves and with representatives of local and sub-national governments to explore how substantial progress can be achieved in the global processes to scale-up local and sub-national climate action.

Kicked-off in June 2013, the launch of Friends of Cities was inspired by the experience at the Rio+20 and biodiversity processes. The Pioneering members are: Mexico, France, Poland, Indonesia, South Africa, Peru, Germany, the Netherlands, Senegal, regularly convening consultation meetings at least once at every official UNFCCC sessions.

In addition, a broader group of Party representatives are attending the regular meetings and engaging in closed consultations as “Allies of Friends of Cities”.

Their mission is to support local and sub-national governments to have the ability, capacity and resources to operationalize local climate change mitigation and adaptation strategies that contribute to efforts of Parties in raising the level of ambition in the pre-2020 period and to promote enabling structures and effective framework conditions for cooperation with local and sub-national governments and the encouragement of City-City, City-Region, City-Business-Citizen and other multilevel partnerships.

Friends of cities constitutes an essential partnership between the LGMA and the Parties to ensure substantial progress in the recognition, engagement and empowerment of local and sub-national governments.

## Nantes World Mayors Summit on Climate

Upon the opening of a new phase of negotiations through a new negotiating group (the ADP) with a mandate to conclude its work in 2015, Local Government Climate Roadmap partners met in Nantes, France on 28 September 2013 and agreed on a revised strategy: the Nantes Declaration of Mayors and Sub-national Leaders on Climate Change<sup>20</sup>. The Declaration was adopted with the support of over 50 mayors from 30 countries, and more than 20 regional and global networks of local and Sub-national governments.

Adoption of the Declaration marked the start of a new phase for the Local Government Climate Roadmap. The renewed strategy included fostering the engagement as “governmental stakeholders” with national governments in the multilateral negotiations on climate change, building upon the achievements of the first phase of the Local Government Climate Roadmap of 2007-2012. It welcomes the creation of the group “Friends of Cities” at the UNFCCC as a mechanism of dialogue and collective consultation between Parties and the LGMA Constituency that can provide inputs to the climate negotiations as well as foster partnerships in or outside the climate negotiations. The Declaration also advocated for the adoption of a 10 Year Action Plan, and for the convening Ministerial-Mayoral dialogues.

In 2013, the **COP 19** Presidency hosted the **first Cities and Sub-nationals Dialogue**, gathering mayors and ministers from across the globe. Local and Sub-national governments were highly visible in the official agenda thanks to the ADP2-3 workshop on urbanization, and the first ever “**Cities Day**”<sup>21</sup> announced and endorsed by the UNFCCC Secretariat and COP Presidency.<sup>22</sup>

COP19 saw the **second COP decision recognizing the role of cities and Sub-national authorities in raising the global level of ambition in the pre-2020 period** through the adoption of Para 5.b of Decision 1/CP19 (FCCC/CP/2013/10/Add.1), “the Conference of Parties decides to accelerate activities under the workplan on enhancing mitigation ambition [...] facilitating the sharing among Parties of experiences and best practices of cities and Sub-national authorities, where appropriate, in identifying and implementing opportunities to mitigate greenhouse gas emissions and adapt to the adverse

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<sup>20</sup> Full text available on [http://www.iclei.org/fileadmin/user\\_upload/ICLEI\\_WS/Documents/advocacy/LGRoadmap/2013\\_Nantes\\_Declaration\\_of\\_Mayors\\_and\\_Subnational\\_Leaders\\_on\\_Climate\\_Change.pdf](http://www.iclei.org/fileadmin/user_upload/ICLEI_WS/Documents/advocacy/LGRoadmap/2013_Nantes_Declaration_of_Mayors_and_Subnational_Leaders_on_Climate_Change.pdf).

<sup>21</sup> For more information on the Cities Day, see also <http://www.iclei.org/climate-roadmap/advocacy/unfccc/cop19cities/21-november-cities-day.html>.

<sup>22</sup> For more information on the COP Presidency Cities and Sub-national Dialogue, see also [http://unfccc.int/files/meetings/warsaw\\_nov\\_2013/application/pdf/131121\\_cop\\_presidency\\_subnational\\_dialogue.pdf](http://unfccc.int/files/meetings/warsaw_nov_2013/application/pdf/131121_cop_presidency_subnational_dialogue.pdf).

impacts of climate change, with a view to promoting the exchange of information and voluntary cooperation.”<sup>23</sup>

Throughout 2014 a number of dialogues and initiatives took place, highlighting the engagement and profile of local and sub-national governments.

Two key mechanisms were created to explore the role and impact of local and sub-national governments in the framework of the Ad Hoc Working Group on the Durban Platform for Enhanced Action (ADP). During the Bonn Dialogues<sup>24</sup>, the “**Forum on Cities and Sub-national Authorities**”<sup>25</sup> and the “**Technical Expert Meeting on Urban Environment**”<sup>26</sup> were organized, presenting groundbreaking examples on local action in diverse areas such as low-carbon transport, renewable energy, carbon trading, climate finance and climate change adaptation.

### **The Compact of Mayors**



The Compact of Mayors was launched by UN Secretary-General Ban Ki-moon and his Special Envoy for Cities and Climate Change, Michael

R. Bloomberg, under the leadership of the world’s global city networks – C40 Cities Climate Leadership Group (C40), ICLEI – Local Governments for Sustainability (ICLEI) and the United Cities and Local Governments (UCLG) – with support from UN-Habitat, the UN’s lead agency on urban issues. The Compact establishes a common platform to capture the impact of cities’ collective actions through standardized measurement of emissions and climate risk, and consistent, public reporting of their efforts. Through the Compact, cities are:

- Increasing their visibility as leaders responding to climate change;
- Demonstrating their commitment to an ambitious global climate solution, particularly as nations convene around a new climate agreement in Paris in December 2015;
- Encouraging direct public and private sector investments in cities by meeting transparent standards that are similar to those followed by national governments;
- Building a consistent and robust body of data on the impact of city action; and

<sup>23</sup> Warsaw Climate Change Conference, November 2013. See also [http://unfccc.int/meetings/warsaw\\_nov\\_2013/meeting/7649.php](http://unfccc.int/meetings/warsaw_nov_2013/meeting/7649.php).

<sup>24</sup> UNFCCC Press Release, 15 June 2014. Rising Number of Initiatives by Cities and Better Land Management Show Pathways Towards Carbon Neutral Future. Available from [http://unfccc.int/files/press/releases/application/pdf/pr20141506\\_sb40\\_close\\_with\\_corrected\\_link.pdf](http://unfccc.int/files/press/releases/application/pdf/pr20141506_sb40_close_with_corrected_link.pdf).

<sup>25</sup> UNFCCC Events, 10 June 2014. *Forum on experiences and best practices of Cities and Subnational Authorities in relation to adaptation and mitigation*. Available from <https://unfccc.int/bodies/awg/items/8169.php>.

<sup>26</sup> UNFCCC Events, 10 June 2014. *ADP Technical Expert Meetings: Urban environment*. Available from <https://unfccc.int/bodies/awg/items/8170.php>.

- Accelerating more ambitious, collaborative, and sustainable local climate action.

Ultimately, the Compact of Mayors provides hard evidence that cities are true climate leaders, and that local action can have a significant global impact.

## The Compact of States and Regions



Launched at the UN Climate Summit in New York, the Compact of States and Regions is the first dedicated global reporting mechanism for states, provinces and regions to showcase and analyze their climate efforts. Through an annual assessment, it provides a transparent, global picture of actions to tackle climate change – allowing state and regional governments to measure their emissions and set ambitious reduction goals.

In less than one year, the Compact of States and Regions has become the global go-to platform for states, provinces and regions to measure and manage their GHG emissions, already collecting climate data from 44 governments representing one eighth of the global economy, and, via actions and commitments reported, able to accurately reflect the level of ambition shown by states, provinces and regions around the world.

The Compact of States and Regions is a partnership between the Climate Group<sup>27</sup>, CDP<sup>28</sup>, R20<sup>29</sup> and nrg4SD<sup>30</sup>, and it supplies data to the UNFCCC NAZCA platform<sup>31</sup>.

On the same year, at the Climate Summit in New York, the keyword was partnership among multi-level and cross-level, including diverse types of stakeholders, from nations, to private business. At the Summit the **Compact of Mayors**<sup>32</sup>, the **Compact of States and Regions**<sup>33</sup> as well as the Global Environment Fund (GEF) Sustainable Cities Integrated Action Program<sup>34</sup> are launched.

**COP20** was crucial for the visibility and institutionalization of the cooperation with the local and sub-national level, with the launch of the **Lima-Paris Action**

<sup>27</sup> For more information on the Climate Group, see also <http://www.theclimategroup.org/what-we-do/programs/states-and-regions/>.

<sup>28</sup> For more information on CDP, see also <https://www.cdp.net/en-US/Programmes/Pages/states-and-regions.aspx>.

<sup>29</sup> For more information on R20, see also <http://regions20.org/>.

<sup>30</sup> For more information on nrg4SD, see also <http://www.nrg4sd.org/>.

<sup>31</sup> For more information on the UNFCCC NAZCA platform, see also <http://climateaction.unfccc.int/>.

<sup>32</sup> For more information on the Compact of Mayors, see also <https://www.compactofmayors.org/>.

<sup>33</sup> For more information on the Compact of States and Region, see also <http://www.theclimategroup.org/what-we-do/programs/compact-of-states-and-regions/>.

<sup>34</sup> For more information on the Sustainable Cities program, see also <https://www.thegef.org/gef/sustainable-cities>.



**Agenda**<sup>35</sup> (LPAA), which capitalises on the invitation to the Peruvian and French Presidencies to enhance the implementation of climate action, and of the **Non-State Actor Zone for Climate Action (NAZCA)**<sup>36</sup> was launched to register commitments to action by companies, cities, regions, and investors to address climate change.

The LGMA constituency issued the **Lima Communiqué**<sup>37</sup> asking for an ambitious and inclusive Climate Regime, which would take into account the complementarity of local and regional actions in preparation and implementation of Intended Nationally Determined Contributions (INDCs), Nationally Appropriate Mitigation Actions (NAMAs), Low Emission Development Strategies (LEDS), and National Adaptation Plans (NAPs), among others.

### The Lima-Paris Action Agenda



The LPAA aims to demonstrate the commitment of non-state actors and coalition of actors to support the new legal agreement Post 2015, through short term and long term actions. It involves both state and non-state actors (national Governments, cities, regions and other sub national entities, international organizations, civil society, indigenous peoples, women, youth, academic institutions, as well as businesses) acting as individual entities or in partnerships. Its objective is to showcase the commitments and partnerships of cities, regions, businesses and civil society organizations, often along with governments, which reduce greenhouse gas emissions and build greater resilience against climate change.

The LPAA seeks to amplify action now and in the long term at each level and in each sector and region of the world. It demonstrates that the world is already taking climate action and constantly increasing the response even before the Paris climate change agreement takes effect from 2020.

### Non-state Actors Zone for Climate Action (NAZCA) Platform



This global platform was launched by the COP20 president in Lima to provide visibility to the commitments being taken

<sup>35</sup> For more information on the Lima-Paris Action Agenda, see also <http://newsroom.unfccc.int/lpaa/about/>.

<sup>36</sup> For more information on NAZCA, see also <http://climateaction.unfccc.int/>.

<sup>37</sup> Local Government Climate Roadmap. Lima Communiqué. Available from [http://iclei.org/fileadmin/user\\_upload/ICLEI\\_WS/Documents/advocacy/LGRoadmap/Lima\\_COP20/Communique/Local\\_Government\\_Climate\\_Roadmap\\_LIMA\\_COMMUNIQUE\\_COP20\\_FINAL.pdf](http://iclei.org/fileadmin/user_upload/ICLEI_WS/Documents/advocacy/LGRoadmap/Lima_COP20/Communique/Local_Government_Climate_Roadmap_LIMA_COMMUNIQUE_COP20_FINAL.pdf).

by cities, regions, companies and investors. NAZCA provided a central repository for the initiatives stemming from the Lima-Paris Action Agenda in the lead up to COP21, and beyond. It addresses all types of non-Party stakeholders, and through using 3<sup>rd</sup> party data providers it acts as a window into existing reporting platforms including the core data partners: CDP, carbonn Climate Registry, The Climate Group, the Investors on Climate Change, and the UN Global Compact, and more recently the Covenant of Mayors.

Throughout COP21, local leaders also took part in thematic events that substantiated the scale and relevance of local climate action. Local leaders spoke at pavilions hosted by the European Union, China, United States and Germany and were central to the flagship Compact of Mayors and Covenant of Mayors events. Through these latter two engagements, cities respectively showed how their commitments can deliver half of the global urban potential greenhouse gas (GHG) emission reductions available by 2020 and exceed the 2020 mitigation ambitions of the European Union. **COP21** witnessed the approval of the **Paris Agreement**, which strives to limit global warming to well below 2 degrees Celsius, with the intent to pursue a 1.5-degree target. The Agreement is a landmark commitment of 195 nations to curb the trajectory of current and future global greenhouse gas emissions - through this Agreement, **local and Sub-national governments are recognized as essential actors** in fast tracking transformative action in the urban world. More information on the Agreement are available in Part III of this report.

### **The Paris Climate Package and the reference to local and sub-national governments**

The **Paris Climate Package** includes both the **Paris Agreement** and the **COP21 decisions on implementation**, and it explicitly recognizes and engages local and Sub-national governments in climate action – a significant success for cities and regions around the world.

Paragraph 15 of the preamble of the Paris Agreement *recognizes the importance of the engagements of all levels of government and various actors.*

Paragraph 15 of the preamble of the COP21 Decision that supports the Paris Agreement also *agrees to uphold and promote regional and international cooperation in order to mobilize stronger and more ambitious climate action by all Parties and non-Party stakeholders, including civil society, the private*



*sector, financial institutions, cities and other Sub-national authorities, local communities and indigenous peoples.*

The COP21 Decision further envisages active engagement of Non-Party Stakeholders as appropriate, including through the technical examination processes on mitigation and adaptation and high-level events of the COP Presidencies.

This includes, notably, a work plan for Sub-national capacity building that spans from 2016 to 2020. National governments have also recognized cities and regions in their Nationally Determined Contributions (NDCs), approximately half of which encourage and foresee action at the local and Sub-national levels. This figure is promising for the role of cities and regions as nations work toward achieving their climate commitments.

## **1.4 Case studies**

### **1.4.1 Case study 1 - Focus: Warsaw and Climate action**

*The city of Warsaw, Poland is an example of how local action is able to enhance local and Sub-national authorities profile at international level. The City of Warsaw has been able to profile itself internationally for its commitment on low-carbon development, through ambitious choices, transparency of the results and international action.*

#### **Engaging in advocacy: “Cities Day” at COP19 in Warsaw**

The first ever-Cities Day organized at COP19 was the result of a dialogue and a joint initiative of the COP Presidency, the UNFCCC Secretariat, the City of Warsaw, ICLEI and partners and it bundled a series of city-focused events that showcase and spark local climate action.

Poland announced its engagement at the Friends of Cities at the Nantes Summit in September 2013. In its capacity as the President of COP19/ CMP9 UNFCCC in Warsaw, in November 2013, the Polish Government created a remarkable legacy by endorsing on 21 November as the “Cities Day” at COP 19, convening the COP Presidency Cities and the Sub-national Dialogue between Mayors, Governors and Ministers and facilitating the adoption of para.5b of Dec.1/COP19. The COP19 Presidency continued its support throughout the ADP negotiations in 2014, in particular providing an active engagement in the Cities and Sub-national Forum and ADP technical Expert meetings as well as

endorsing the local Government Climate Roadmap's "Lima Dialogues" at COP20/CMP10 in Lima, Peru.

### **Political Commitment and international action**

Warsaw signed the Covenant of Mayors in 2009, and in 2011 Warsaw City Council adopted the resulting Sustainable Energy Action Plan, which envisages reducing CO<sub>2</sub> emissions and energy consumption in Warsaw by 20 per cent by 2020, and also increasing renewables' share of energy to 20 per cent by the same year. Achieving these ambitious goals requires multiple actions in different fields of city activities, undertaken in cooperation with various stakeholders, both internal and external. In 2015, Warsaw signed the Compact of Mayors and it reports its GHG emissions, climate actions and commitments publically and voluntarily through the Carbonn Climate Registry<sup>38</sup>.

Warsaw joined the UNEP-led District Energy in Cities initiative<sup>39</sup> and Sustainable Energy for All (SE4ALL) Building Efficiency Accelerator<sup>40</sup>. The city presented its work in several international venues, including at COP21, both within the cities day and the building day foreseen by the official agenda.

Warsaw and the other cities participating in the SE4All accelerators were able to demonstrate the impact that cities have and the wealth of resources that that can be effectively tapped at local level to reduce emission, to secure access to more sustainable and secure energy, and to directly impact on citizen's quality of life.

The city's extensive district energy system (DES), spanning an impressive 1,720 kilometres, provides heating for 70 percent of its 1.7 million inhabitants (and 78 percent of the city's heating demand). Modern district energy systems offer huge potential in many countries around the globe, also in areas where they are traditionally not considered. The case of Warsaw illustrates how to approach a large scale system. Clearly various sizes, shapes and types of district energy – for heating, cooling and/or electricity are available to fit the relevant context. The main interest is in energy efficient systems that run on clean fuels, and offer effective services.

Warsaw's DES offers its users substantial benefits. Aside from its resource-efficient, low-carbon nature, the system is highly cost effective - 70% less costly than conventional electricity sourced systems in Poland. What began as a primarily coal-based system in 1952, has since flourished under a public private

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<sup>38</sup> For more information on the Carbonn Climate Register, see also <http://carbonn.org/climateregistry/>.

<sup>39</sup> For more information on the District Energy Initiative, see also <http://www.districtenergyinitiative.org/>.

<sup>40</sup> For more information on SE4ALL, see also <http://www.se4all.org/>.

partnership between the City and Veolia Energia<sup>41</sup>. Today, the system includes a myriad of low-carbon, sustainable energy sources, such as the City's Czajka Wastewater Treatment Plant, whose sewage sludge has powered the City's street lighting since 2008.

The housing sector in Warsaw consumes 65% of the city's annual heating requirements. Realizing that buildings and energy systems are inextricably linked, the City offers a comprehensive range of programs anchored in integrated energy planning in the City's Sustainable Energy Action Plan (SEAP)<sup>42</sup>. Programs under the SEAP (2011-2020), avidly push for the acceleration of an energy-efficient building stock in both new and existing buildings. Concrete measures include thermal retrofit schemes for existing public and social housing buildings, new passive, low-energy and energy-efficient construction and the roll out of smart grids and metering, to strengthen consumer awareness and resource-efficiency. These approaches have taken flight, as demonstrated by the city's impressive number of LEED and BREEAM certified buildings – the highest in Eastern Europe.

The City will synthesize Warsaw's diverse low emission development solutions in the historic Praga, where three districts will undergo a major revitalization, transforming into a "Low-Carbon Area". The 2015 flagship project will connect 5,000 flats new and existing green buildings to district heating, benefiting 1300 residents.

Recent developments also include the launch of a biomass digester at the Siekierki combined heat and power generation (CHP) plant. Siekierki, operated by PGNiG Termika (a Polish energy producer), is Europe's second largest and Poland's largest cogeneration plant. This new biomass digester represented an investment of €28 million, provided as a grant from the Norwegian Financial Mechanism. It will combust 300,000 tons of biomass per year and reduce annual CO2 emissions by 227,000 tons.

The vision and experience of the city of Warsaw have been instrumental in supporting the knowledge-exchange between cities within the URBAN-LEDS project, which aims at fostering low-carbon development in emerging economies, targeting cities in India, Indonesia, South Africa and Brazil. The Polish city provided insights to both its international and European peers, and, in particular, it hosted a staff exchange with two representatives from the cities of Bogor and Balikpapan (Indonesia). The participants in the exchange obtained ideas to replicate in their community, through a tailor-made approach the

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<sup>41</sup> Further information can be found on <http://www.veolia.pl/o-nas/veolia-w-polsce/energia>.

<sup>42</sup> For more information on SEAPs, see also [http://www.covenantofmayors.eu/actions/sustainable-energy-action-plans\\_en.html](http://www.covenantofmayors.eu/actions/sustainable-energy-action-plans_en.html).

measures observed in Warsaw, with a particular interest in creating partnerships with the regional level and the private sector on transport.

The city of Warsaw is widely recognized for its commitment to move away from coal-based energy to a diverse mix of sustainable energy sources. The latest step of this low-carbon trajectory was the adoption on 10 December 2015 of the “Low Carbon Economy Action Plan for Warsaw”. This new document aims to help implement Warsaw’s climate and energy package as defined in the Warsaw Sustainable Energy Action Plan<sup>43</sup>, submitted under the Covenant of Mayors. This package includes CO<sub>2</sub> emission reductions of 20 percent by 2020, increasing the share of renewable energy sources to 20 percent by 2020 and improving energy efficiency in the city. The Action Plan identifies investments and actions needed to achieve these objectives. These investments will exceed €2 billion and will go towards developing a low-emission transportation system, modern energy infrastructure (including district heating and renewable energy), thermal retrofitting of public and private buildings and awareness-raising.

### **Take-aways**

The City of Warsaw offers an example of how a local government can coherently set objectives and align them with practical actions.

While cooperation between the city and the national level may fluctuate, Warsaw has been able to capitalize strongly on the opportunity provided by the hosting of the COP, and has advocated with success for a larger visibility of cities within the international climate negotiations, in partnership with a national government that only recently before joined the Friends of Cities group.

Clear commitments, a strong vision and practical implementation are a winning argument for the advocating for the importance to support the scale up of local climate actions. Sounds plans (both technical and financial) have made available to Warsaw (at least in part) of the necessary resources to drive their strategies. This highlights the importance of providing technical support to local government in better substantiating their plans (technically and financially) in

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<sup>43</sup> Ibid.

order to guarantee easier access to financing.

The action implemented on the ground have also helped raising the interest and the understanding of local action internationally, for example through profiling the potential and the large-scale impact that district energy in cities can have on reducing emissions, increasing comfort, and tackling social issues such as energy poverty.

### **1.4.2 Case study 2 - Focus: Basque Country and multi-level governance and support for climate action**

*The Basque Country is a great example of how a subnational government can lead sustainable development and support low carbon and resilient climate actions locally, while also engaging and profiling its action at European and international level.*

*The Basque Country has been able to support, through long-term cooperation, its own local governments to commit and reach ambitious targets, and to implement sustainable plans, while showcasing internationally how regional commitments can impact global climate action.*

#### **The international commitment:**

The Basque Country has a long history of engagement in sustainability and environmental action. The latest commitments made include the signature of the **Compact of States and Regions** in 2014. The Basque country is part of the **Climate Group States & Regions** that aims at bringing together sub-national government leaders from around the world to share expertise, and demonstrate impact of regional action also within the international climate dialogue.

The Climate Group States & Regions was created in 2005 with the signing of the Montreal Declaration of Federated States & Regions<sup>44</sup>. The Climate Group States & Regions currently brings together 35 members from across the Globe and Iñigo Urkullu, President of the Basque Country is one of the co-chairs of the Climate Group States and Regions for 2015/16.

With a similar aim to boost and promote the untapped potential of regional action in adapting to the effects of climate change, the Basque Country has

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<sup>44</sup> Montreal Declaration of Federated States & Regions, [http://www.theclimategroup.org/\\_assets/files/Montreal-Declaration-Signatories-as-of-Jan2010.pdf](http://www.theclimategroup.org/_assets/files/Montreal-Declaration-Signatories-as-of-Jan2010.pdf)

joined the **RegionsAdapt**<sup>45</sup> initiative, a global commitment to support and report efforts on adaptation at the state and regional level. On the initiation of Rio de Janeiro and Catalonia, this initiative aims to establish a cooperative framework for regions to exchange experiences, knowledge, policy models, and best practices on their actions and challenges when adapting to climate change, with the objective of improving framework conditions to achieve resilient territories.

This commitment includes the adoption or review of plans on adaptation within two years, and the implementation of an adaptation action in one of a series of thematic areas, as well as reporting on the progress of the adaptation initiatives through the Compact of States and Regions platform. The data reported is also being submitted to the NAZCA platform.

The Basque Country also counts the highest number of municipalities committed and fully compliant to the Compact of Mayors. Thanks to the direct support of the Basque network of Municipalities for Sustainability (Udalsarea21), ten municipalities were able to deliver on their commitment to tackle climate mitigation and foster climate adaptation, to confirm convincing targets and an effective action plan for their achievement, and were able to deliver a robust green-house gas inventory based on robust data and in accordance with the **Global Protocol for Community-Scale Greenhouse Gas Emission Inventories (GPC)**<sup>46</sup>, becoming all fully compliant with the requirements of the Compact of Mayors.

### **Sustainability at 360 degrees:**

The Basque Government articulated a clear trajectory of action through a sustainable development strategy, aligned with the Europe 2020 Strategy. The “Environmental Program of the Basque Country 2020, part of the overall Euskadi 2020 strategy, aims at contributing to the wellbeing of the citizens, to job creation and foster a low carbon economy.

The results obtained by the Basque Country in the last decade in the environmental build upon the cooperation among the general public, companies,

<sup>45</sup><sup>45</sup> [http://www.nrg4sd.org/wp-content/uploads/2015/11/RegionsAdapt\\_Commitment.pdf](http://www.nrg4sd.org/wp-content/uploads/2015/11/RegionsAdapt_Commitment.pdf)

<sup>46</sup> Global Protocol for Community-Scale Greenhouse Gas Emission Inventories (GPC) uses a robust and clear framework to establish credible emissions accounting and reporting practices, thereby helping cities develop an emissions baseline, set mitigation goals, create more targeted climate action plans and track progress over time. By using the GPC, cities strengthen vertical integration of data reporting to other levels of government, and gain improved access to local and international climate financing. Developed by the World Resources Institute (WRI), ICLEI and C40 cities, the GPC is supported by the World Business Council for Sustainable Development (WBCSD) and endorsed by UNHABITAT, UNDP and the World Bank. The Protocol serves as the foundation for nearly every GHG standard and program in the world - from the International Standards Organization to The Climate Registry - as well as hundreds of GHG inventories prepared by individual companies. More info at: <http://www.ghgprotocol.org/city-accounting>



civil society and the authorities, and these efforts has positioned the Basque Country as a benchmark on the International Environmental Performance Index. The Basque Plan Against Climate Change 2008-2012 objectives were successfully met, with a reduction of emissions 10% higher than the target, and absorptions 50% over target.

The Climate Change Strategy to 2050 was approved in June 2015, and it includes the target of GHG reduction of 40% since 2005 by 2030 and 80% by 2050, a 20% renewable energy consumption vs final consumption by 2030 and 40% by 2050, and a clean transportation target of 27% alternative energy sources by 2030 and 100% by 2050.

The Basque Country has implemented a wide range of measures to foster climate mitigation and adaptation.

It has developed regulatory frameworks to foster energy sustainability in the public administration, and it has developed system fiscal incentives for “clean” technologies in industry, which is planned to be extended to other sectors and actors.

The Basque Country has actively support energy efficiency measure and renewable energy projects, though providing subsidies for these measures (including CHP), and through fostering research and innovation. This includes an yearly call for Innovative sustainable local projects, as well as the development of the Biscay Marine Energy Platform-Bimep, an offshore facility to research, demonstrate and operate systems to harness marine energy.

The region has fostered sustainable mobility and low-carbon transport through creating an electric car-sharing system, and providing a network of vehicle charging stations net, by public-private partnership (IBIL), while at the same time investing in an expansion of the public transport system.

A vulnerability and impact assessment has been carried out for the Basque Country, resulting in the integration of adaptation criteria in local policies (e.g. on water), and as a basis for the Climate Change Strategy 2050

### **The multi-level support:**

The Basque Government works closely and supports the Basque network of Municipalities for Sustainability (Udalsarea21), which supports directly municipalities in the territory, setting up a very successful example of multi-level partnership and effective institutional coordination.

Udalsarea 21 is an umbrella organization for cities and towns that bring together around 200 Basque municipalities with the aim to establish high quality Local Agenda 21 Action Plans and to embed sustainability as a key indicator in all public sectors.

In accordance with the **Aalborg Charter**, Udalsarea 21 promotes the role of local government and the participation of civil society in sustainable development and in policy-making. With this aim, the number of municipalities mainstreaming Local Agenda 21 processes in their territory has increased from 8% in 2000, to 95% in 2010, with 75% of the municipalities having approved Local Action Plans.

Important factors that have contributed to this success include the establishment of supra-municipal policies such as the Basque Country Environment Sustainable Development Strategy, and the adoption of the **AIDAR (Attention, Interest, Demand, Action, Recognition) methodology**.

The AIDAR strategy provides specific support to municipalities at the different stages of the process though creating a network able to share resources and provide high-quality reflecting the different needs of each Basque municipality.

<b>A</b> ttention:	those municipalities which have not yet initiated a LA21 process.
<b>I</b> nterest:	those which are compiling or have compiled a LAP.
<b>D</b> emand:	those with a LAP underway and which are members of Udalsarea 21.
<b>A</b> ction:	those Udalsarea 21 members who carry out LAP monitoring and follow up.
<b>R</b> ecognition	those municipalities which are members of Udalsarea 21, carry out LAP monitoring and follow up and have more mature processes.

*Figure 1: AIDAR methodology. Sources UDALSAREA21 for [www.sustainbalecities.eu](http://www.sustainbalecities.eu)*

Udalsarea 21 also coordinates the Basque Country Local Sustainability Observatory, and to monitor effectively the implementation of the over 25,000 actions at local level, has developed the MUGI21 application. In addition this application provides municipalities with the opportunity to extract data and gain a better overview of their local process and the effectiveness of their Local Action Plan.

Udalsarea 21 is currently analyzing and updating its contribution to Aalborg Commitments. Last year, the network fulfilled 10 years of its Commitment pledges. In the framework of the Aalborg process, the Basque Country was the host of the 8th European Conference on Sustainable Cities & Towns held in the Basque Country from 27-29 April 2016.

During this conference the “**Basque Declaration: New Pathways for European Cities and Towns to create productive, sustainable and resilient cities for a liveable and inclusive Europe**”<sup>47</sup>” was presented and approved by acclamation.

The Basque Declaration, which was drafted with a substantial contribution by the Basque government, outlines new pathways for European Cities and Towns to create productive, sustainable and resilient cities for a liveable and inclusive Europe. The document aims to support and accelerate socio-cultural, socio-economic and technological transformation, taking into account the latest developments at international level such as the Sustainable Development Goals and the Paris Agreement.

In this regard, the Declaration calls for a more integrated and inclusive approach to policy development, with a substantial increase in effectiveness of multi-level governance both within nations and at European level. The Declaration also underlines the readiness of local and sub-national governments to provide support to national governments and the EU in implementing the Paris Agreement objectives through aligning local policies and actively contributing to reaching targets. The Declaration includes a request for local and sub-national action to be enabled in implementing such complementary actions, through more inclusive, multi-level policy development, though better regulatory framework, and financial support.

### **Take-aways**

The Basque Country is a successful example of how a coherent and inclusive vision can lead to long term results and real impacts. Through over a decade of action and policies, the Basque country has enabled the appropriate framework conditions for local action to grow in an integrated and mutually-reinforcing way. Through cooperating and providing support to local governments and their associations, the Basque Country has fostered an integrated and comprehensive approach to sustainability and increased the quality of life of its citizens.

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<sup>47</sup> April 2016, “Basque Declaration: New Pathways for European Cities and Towns to create productive, sustainable and resilient cities for a liveable and inclusive Europe”. Available here: <http://bit.ly/INzoSKO>

Assuming the Local Agenda 21 as a framework for cross-sectorial policy making, environmental policies and areas, like climate change, biodiversity and sustainable public procurement, have progressively become interdependent resulting in more ambitious and comprehensive Action Plans.

At the same time, the Basque Country is an example of engagement at European and international level. It provides an example of engagement, through active participation in all networks and initiatives promoting the importance of the subnational level in setting standards for impactful climate action

# PART II – Key requests from Cities and Regions

This part will identify the positions of cities and regions while identifying their key requests, starting from the key achievements of the past decades of advocacy within the UNFCCC and with an outlook to the future.

Figure 5 summarizes the key advocacy achievements obtained within the Local Government Climate Roadmap process:

Recognize	1	Local and subnational governments as “governmental stakeholders” – paragraph 7 of 1 Dec / CP16 in Cancun in 2010
	2	Role of cities and subnational authorities in raising pre2020 ambition –paragraph 5b of 1 Dec / CP19 in Warsaw in 2013
	3	Engaging with all levels of governments, as well as local, subnational and community level in capacity building, adaptation and loss and damage – Paris Agreement preamble paragraphs 15, 7.2, 11.2, 8.4.h + COP21 Decision on Non-Party Stakeholders
Engage	4	Ministerial-Mayoral Dialogues – COP16-2010-Cancun, COP19-2013-Warsaw and High Level Action Days – COP20-2014-Lima, COP21-2015-Paris
	5	ADP Workstream-2 Technical Examination Process on Urban Environment and Cities and Subnational Forum
	6	Compact of Mayors, Compact of States and Regions, Covenant of Mayors, Under2MoU etc.
	7	Increased number of organizations of the Local Governments and Municipal Authorities Constituency (LGMA) and Special UNFCCC badges for their political leaders
	8	Lima-Paris Action Agenda (LPAA) Declarations including 5-Year Vision and NAZCA Platform, including the carbonn Climate Registry as the first data partner
	9	Friends of Cities at the UNFCCC, increased number of local and subnational leaders in the national delegations of both Annex-I and Non-Annex-I Parties
	10	Workplan of Paris Committee on Capacity Building – paragraph 73 d / g of 1 Dec / CP21
	11	~ 50% of submitted INDCs in 2015 have a focus on action at local and subnational level
	12	Cities and regions contributing to global funds – City of Paris and Brussels Capital Region to GCF, Quebec to GEF-LDCF and others
Empower	13	New resources such as the GEF Integrated Action Programme on Sustainable Cities, Cities Climate Finance Leadership Alliance (CCFLA), Climate-KIC LoCaL program, UN Subnational Climate Action Hub
	14	Launch of the Transformative Actions Program (TAP)
	15	2030 SD Agenda; Sendai-Disaster, Addis Ababa-Finance, Sustainable Development Goals (SDGs) including Goal 11

Figure 2: From Bali 2007 to Paris 2015: advocacy achievements of local and sub-national governments. Source: ICLEI (2016), *The Paris Climate Package - A Basic Guide for Local and Subnational Governments*.

## 2.1 Key requests prior to COP21

Before COP21, the main request of the LGMA Constituency was to accelerate and enhance the dialogues with the Parties to facilitate an ambitious and inclusive climate framework<sup>48</sup>, starting from Paris 2015.

The requests to the Parties included the need to **advance global climate negotiations towards and ambitious and inclusive Agreement**, through strengthening the dialogue with local and sub-national governments, and other non-Party stakeholders that can deliver climate action on the ground. Parties are also asked to “*show more ambition by adopting long term goals on carbon neutrality, 100% renewables and on adaptation by 2050, and by creating a robust framework that addresses loss and damage from climate change*”<sup>49</sup>. The Committee of the Regions also calls for an ambitious approach towards the development of INDC: “[CoR] calls on the EU to actively support a global target of zero carbon in 2050 and to go further in the commitments it gave on the INDCs, by agreeing on a reduction of at least 50% of greenhouse gases in Europe compared to 1990 levels”<sup>50</sup>.

Parties have also been asked to mandate national negotiators to provide a **clear recognition and reference to the role and impact of local and subnational governments**<sup>51</sup> including the paragraph “*Enhance action through the cooperative implementation of the policy options and further incentivize climate actions by subnational authorities, including local governments, such as establishing effective regulatory and institutional frameworks and financing mechanisms needed to address barriers and leverage investment, in accordance with their national circumstances*”<sup>52</sup>.

Prior to COP21, the Committee of Regions also underlined the fundamental role that local and regional governments can play in drafting and implementing climate change policies, referring to the potential that the Paris Agreement could have in unlocking resources that can help cities and regions to meet and exceed their climate goals. This potential to be tapped, should also be reflected at European level, by the 2030 policy framework, which can actively strengthen the impact of EU local initiatives, such as the EU Covenant of Mayors, Mayors

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<sup>48</sup> Towards and Inclusive and Ambitious Climate Regime Regime beyond Paris – LGMA Positions, Available at: [http://www.iclei.org/fileadmin/user\\_upload/ICLEI\\_WS/Documents/advocacy/ADP/ADP2.11/LGCR\\_Towards\\_COP21\\_Positions\\_October2015.pdf](http://www.iclei.org/fileadmin/user_upload/ICLEI_WS/Documents/advocacy/ADP/ADP2.11/LGCR_Towards_COP21_Positions_October2015.pdf)

<sup>49</sup> Bernard Soulage, Vice-President, Rhone-Alpes Region, France, LGMA Interventions at Paris Pre-Cop21 High Level Consultations With Observers, 8 November 2015

<sup>50</sup> CoR Opinion, CRDR 1535/2015, Towards a global climate agreement in Paris, 14/10/2015

<sup>51</sup> “The reference to local and subnational climate action in more than 50% of all INDCs submitted until now is another signal that motivates our work.” Bernard Soulage, Vice-President, Rhone-Alpes Region, France, LGMA Interventions at Paris Pre-Cop21 High Level Consultations With Observers, 8 November 2015.

<sup>52</sup> Presented by LGMA Constituency at Geneva Climate Change Conference - February 2015, ADP 2-8UNFCCC. A version of this text was contained in para 37a and 37b of a draft negotiation text of ADP Co-Chairs ahead of COP20/CMP10. More information: <http://unfccc.int/resource/docs/2014/adp2/eng/l2drafttext.pdf>

Adapt and other EU funded initiatives. The Committee of the Region also urged for a new model of global climate governance based on the principles of multi-level governance, fully recognising the action of Non-Party stakeholders in order to maximise climate action, and to this aim advocates for the recognition of local and subnational governments through establishing a cities and regions work programme on climate action<sup>53</sup>.

Parties have also been requested to **enhance vertical integration** and foster **effective multilevel governance**, through mandating responsible national agencies to **engage local and regional governments in the preparation and implementation of Intended Nationally Determined Contributions (INDCs)**, Nationally Appropriate Mitigation Actions (NAMAs), Low Emission Development Strategies (LEDS) and National Adaptation Plans (NAPs), amongst others.

Both Parties, but also local and regional governments, financial institutions and the private sector, have been requested to strengthen their partnerships, and to continue to explore innovative formulations to raise and complement pre-2020 ambitions at the national and global level. This includes **providing better access to climate funding opportunities**, and **fostering capacity building on technical solutions and innovative financing**. The Committee of the Regions also called on the EU and non-EU developed countries to set out a financial package before COP21, in order to honour their pledge to raise their fair share of the commitment of USD 100 billion per year by 2020, and to facilitate direct access for cities and regions to the main global climate funds, namely: the Green Climate Fund, the Global Climate Facility and the Adaptation Fund<sup>54</sup>.

## 2.2 The road ahead: cities and regions requests

**Policymaking at the local and regional level: creating a system of Locally Determined Contributions and providing appropriate support for the continuation of flagship initiatives**

In line with the principles of multi-level governance, Local and Sub-national governments should be able to clearly define their mitigation and adaptation commitments, as nations have done through the NDCs. As thousands of local governments have done in the past years, by making transparent, verifiable and reportable commitments, local leaders have effectively create a system of **Locally Determined Contribution** that demonstrate their impact and motivate other actors to increase their goals. The LGMA Constituency suggests to use

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<sup>53</sup> CoR Opinion, CRDR 1535/2015, Towards a global climate agreement in Paris, 14/10/2015

<sup>54</sup> CoR Opinion, CRDR 1535/2015, Towards a global climate agreement in Paris, 14/10/2015

such opportunity to explore and implement direct connection with NDCs. This would be not only more effective, but also in line with the principle of subsidiarity.

Thanks to the consistent and transparent reporting championed by initiatives such as the **Covenant of Mayors and the Compact of Mayors**, local leaders can help increase capital flows into cities, towns and regions by demonstrating the collective impact of local climate action. To this end it is necessary to put a stronger focus on these initiatives, ensuring an **extension until 2030 and 2050, and providing appropriate means** for the continuation and the speeding up of these initiatives, with the aim of boosting up European cities and regions that are committed to going beyond European targets<sup>55</sup>.

### **Building capacity and establishing the framework to facilitate local action**

Committing to a Locally Determined Contribution is an important initial step in a broader undertaking. To this end cities and regions need to have access to the necessary resources to achieve their stated goals. Local initiatives cannot be effectively implemented without recognition in the form of a **mandate and medium to long-term support and funding**.

Adequate legal frameworks need to be put in place to foster local action. These frameworks, at national but also supranational level (e.g. European Union) should enable and facilitate the roll-out of action from bottom-up. This includes for example **stimulating the energy transition and local investment** in climate mitigation and adaptation projects, through streamlining regulations, avoiding excessively burdening bureaucracy and setting up framework conditions that enable action instead of hindering it. For the EU specifically while there is mention of the importance of local and regional authorities in the Energy Union Package, in the **RED, EED and the EPBD**, significant barriers for local and regional authorities to fulfill these roles exist, and insufficient assistance is offered to the authorities to be able to succeed in filling these roles<sup>56</sup>.

Support in understanding and developing a comprehensive framework that informs the full cycle of planning and implementation and links to resources that facilitate each step towards low carbon and resilient development is necessary, and it is crucial to ensure that adequate capacity and resources are allocated to the development of practical solutions and actions at local and sub-national level, every step of the way.

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<sup>55</sup> Ibid note 64

<sup>56</sup> EU Energy Market Policy: Local and Regional Experience and Policy Recommendations – Full final report, CoR Contract Reference: CDR/DE/191/2011



## **Creating partnerships and fostering innovation with the private sector**

To strengthen local climate action, local and sub-national governments can and should seek implementation partners with complementary knowledge and resources to channel into developing clean technologies. Collaborating with the business sector can facilitate access to innovative technological solutions and private sector innovations to directly support strategic goals.

It is crucial to foster the understanding of the value in **strengthening city-business relationships** and to provide several avenues to establish and nourish these connections for the benefit of sustainable urban development.

To this end, the development of the market for such cooperations should be fostered. In the EU, the **market for ESCOs** has not developed sufficiently in most Member States. Local and regional government have often scarce experiences in cooperating through PPPs, limiting the possibility for the public sector to invest in sectors particularly impacting and inefficient in terms of energy and emissions, and where investments are at the same time difficult to stimulate (e.g. residential sector).

## **Energy production: favouring local solutions**

The connection with bottom-up initiatives is also particularly crucial, especially in regions like Europe, where it will be imperative to explore alternative finance for climate action. Engaging citizens directly will not only facilitate a more inclusive process of implementation and reduce opposition, but will also allow for **tapping the potential of community actions, and leverage private investment locally**. These investments in return, will foster employment and regional value chains.

Especially focusing on the European energy transition and the implementation of the Energy Union (“with citizens at the core”<sup>57</sup>) small-scale production from renewable sources owned by consumers themselves (“prosumers”) and by local and regional citizen cooperatives provides multiple benefits. It provides the opportunity to engage directly the community in the implementation of local climate actions, it raises awareness of rational energy use, it redistributes costs and benefits of the energy transition, while responding to social issues, such as energy poverty.

To benefit from this untapped potential, cities regions and their citizens need better regulatory conditions, including the obligations in the RED to facilitate

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<sup>57</sup> COMMUNICATION FROM THE COMMISSION TO THE EUROPEAN PARLIAMENT, THE COUNCIL, THE EUROPEAN ECONOMIC AND SOCIAL COMMITTEE, THE COMMITTEE OF THE REGIONS AND THE EUROPEAN INVESTMENT BANK A Framework Strategy for a Resilient Energy Union with a Forward-Looking Climate Change Policy - COM/2015/080 f

grid access for local RES, and for the transposition of such obligations into national law. At the same time, an increase of the size limits set by State for new renewable generation without a competitive bidding process should be set.

Overall, the right of prosumers to fair access to the energy market needs to be protected, expanding on their rights as consumers.

### **Climate finance: accelerating climate action**

While city-business partnerships stimulate the innovative potential of climate action, climate finance is the linchpin to rapid and successful implementation. The Paris Agreement will unlock at least USD 100 billion per year to support implementation of national commitments, and it is essential that local and Sub-national governments access a substantial portion of this funding. New direct financing mechanisms should make funding more readily accessible to local and regional governments both in the Global South and North.

Innovative financial mechanisms and their implementation should also be fostered, providing access to assistance, knowledge and capacity building for local governments willing to develop a solid project concept. Framework conditions both at national and supranational level (e.g. European Union) should facilitate the exploration of new financial models and schemes.

One example is the Cities Climate Finance Leadership Alliance (CCFLA) – an initiative launched at the 2014 Climate Summit hosted by the United Nations Secretary General - is a coalition of over 40 members that have joined forces aim to catalyze and accelerate additional capital flows to cities, maximize investment in climate smart infrastructure and close the investment gap in urban areas over the next fifteen years.

For Europe, the CoR highlights the role of EIB in funding energy transition measures is crucial in order to support existing or future European funding scheduled for the periods 2014-2020 ((Life+Clima, structural funds, Horizon 2020, Connecting Europe Facility, etc.)<sup>58</sup>. It also underlines the need for a voluntary and innovative investment policy geared towards the regions – particularly in the area of energy and adaptation. This policy should involve cities and regions in the process of allocating funding and include smaller scale projects under the Juncker Plan. It recommends examining the prospect of deducting climate investment from the "Maastricht" debt calculation<sup>59</sup>.

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<sup>58</sup> "A policy framework for climate and energy in the period from 2020 to 2030, CoR Opinion:CDR2691/2014

<sup>59</sup> Ibid –note 70

In parallel the European Commission should support the development of innovative financing instruments to specifically include and address the special financing requirements and constraints of local and regional authorities. In line with this request, the Commission has concluded that it will speed up the provision of technical assistance for stakeholders to establish, in 2016, schemes to bundle smaller energy efficiency projects, to facilitate the acquiring of investments. These schemes should provide investors with better investment opportunities in energy efficiency and make capital better accessible for national, regional or local energy efficiency platforms and programmes<sup>60</sup>.

### **Multi-level governance and bottom-up initiatives**

Cooperation with the different level of government remains a key factor for success. Local and regional action can complement and enhance the impact of NDCs, but the regional level has the additional crucial role of providing capacity support to smaller communities. The Sub-national level can support the coherent and inclusive development of plans and the implementation of actions, it can support the local level in acquiring the necessary funds (e.g. through bundling projects, or simply guiding the process of development of a project proposal to a funder), and it can also act as intermediary between very local initiatives and the national level, impacting regulation and policy.

Given that 56% of EU municipalities have between 5 000 and 100 000 inhabitants, the regional level can cluster and scale up the efforts of small towns and municipalities, for examples through supporting measures taken by conurbations and small and medium-sized towns have a significant cumulative effect when it comes to putting into place sustainable urban development principles. In Europe, regions have often the possibility to manage Structural Funds and prioritize the investment in areas such as low carbon development and energy efficiency measures. Through tender specifications and calls for proposal they can steer local low emission developments in an efficient manner, but they need to be fully supported by the national level in this role.

A regional medium-to long term policy can support actively the development of local initiatives, leading by example and coordinating actions, in away to make possible the implementation of a “climate mitigation/adaptation” snowball effect thorough their territory.

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<sup>60</sup> COMMUNICATION FROM THE COMMISSION TO THE EUROPEAN PARLIAMENT AND THE COUNCIL The Road from Paris: assessing the implications of the Paris Agreement and accompanying the proposal for a Council decision on the signing, on behalf of the European Union, of the Paris agreement adopted under the United Nations Framework Convention on Climate Change, 2.3.2016 COM(2016) 110

## Performance evaluation and reporting – fostering transparency

The Paris Agreement underscores the importance of measurement, reporting and verification (MRV) as a transparent and comparable mechanism that tracks the extent to which nations are meeting their respective obligations. MRV is equally important for local and subnational governments.

Through regular, standardized reporting that is consistent with standards established by the global climate regime, cities and subnational governments can demonstrate the scale and impact of their efforts, leveraging this information to gain direct access to climate funds and fostering the confidence of potential investors. Nonetheless, lack of access to energy consumption data is a major obstacle in strategic energy planning for local and regional authorities in Europe, to evaluate the impact of planned energy efficiency measures or to monitor the result of implemented energy efficiency measures, or to evaluate the impact of local renewable generation projects<sup>61</sup>.

Cities and Regions need to be facilitated in accessing the data needed for their inventories through improved regulation and clear mandate to receive aggregated data by energy distributors. The EED makes provision for Member States to collect from obligated parties<sup>62</sup>, on request, aggregated statistical information on their final customers, including information on final customers' consumption, load profiles, customer segmentation and geographical location<sup>63</sup>. In the transposition into national law most Member States have provided for the ability to request data from the obligated parties, but this request is not responded to in a systematic manner, or with suitable data. A review of the EED should ensure that relevant measures are actually put into place by Member States to request and collect the data as defined in the EED, preferably in one central place (e.g. national or regional ministry of energy, ministry of statistics, energy agencies)<sup>64</sup> and to the standard needed by regional and local governments.

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<sup>61</sup> Summary Report on Good Data Sharing Practices, IEE co-funded Project Meshartility, ([http://www.meshartility.eu/images/documents/pl/ICLEI\\_meshartility\\_report\\_EN\\_210x297\\_Screen\\_2.pdf](http://www.meshartility.eu/images/documents/pl/ICLEI_meshartility_report_EN_210x297_Screen_2.pdf))

<sup>62</sup> essentially the energy providers

<sup>63</sup> Article 7(8)

<sup>64</sup> EU Energy Market Policy: Local and Regional Experience and Policy Recommendations – Full final report, CoR Contract Reference: CDR/DE/191/2011

# PART III – Opportunities within the UNFCCC process

## 3.1 Interests of Cities and Regions

Section III.1 works as an introduction and sheds light on the interests of cities and regions (C&R).

The present chapter includes the latest developments, such as the Lima-Paris Action Agenda (LPAA), and what CoR can actually do to support local actors and municipalities; mainly by actions within the United Nations Framework Convention on Climate Change (UNFCCC) process. It includes a subchapter mapping the financial opportunities.

## 3.2 Options to support Cities and Regions within UNFCCC

Section III.2 targets concrete options (for CoR and other actors) to support the interests of cities and regions.

The “assessment of interventions in terms of efficiency in reaching cities’ and regions’ goals” (suggests to perform first and quickly the suggestions of chapters III.2.1.1 and III.2.2, then (according to the specific situation in a given city or region) the two dozen suggestions listed in chapter III.2.1.2. Financial opportunities are listed in chapter III.3 for practical support. The annexes I through VII provide additional supportive material from administrative and scientific sources.

### 3.2.1 A collection of concrete and practical suggestions

#### 3.2.1.1 The imminent and appropriate action within UNFCCC

The most important message to convey on the first pages of chapter III as of July 2016 is *to use the existing and foreseen process* within UNFCCC for CoR’s action and CoR’s interests (without the need to establish a *new* process), namely **to submit to the two *High Level Champions for Climate Action***<sup>65</sup>.

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<sup>65</sup> Minister Delegate Hakima El Haite (Morocco) and Ambassador Laurence Tubiana, see <http://newsroom.unfccc.int/climate-action/global-climate-action-agenda/#Champions>

It seems useful to take this opportunity which is actually intended for the target of the CoR.

Two main documents describe this opportunity: the roadmap and the invitation for submissions.

The **Roadmap**<sup>66</sup> focuses on preparing for COP 22 in Marrakesh, and requires a deadline of 1<sup>st</sup> August 2016!

Its text reads: “At the twenty-first session of the Conference Parties (COP 21) in Paris, it was agreed that mobilizing *stronger* and *more ambitious* climate action by all Parties *and non-Party stakeholders* is urgently required if the goals of Paris Agreement are to be achieved. (...) To ensure a durable connection between the Convention and many voluntary collaborative actions, Parties decided that two high-level **champions** be appointed.”

### The Climate Champions

Governments in Paris formally recognized the enormous importance of individual and coordinated climate action by non-state actors. To help boost cooperation between governments, cities, business, investors and citizens and to speed up and scale up immediate action, governments also agreed to appoint two champions between 2016-2020, who will be selected successively from outgoing and incoming Presidencies of the annual UN climate change conference.

Dr. Hakima El Haite, Delegate Minister in Charge of Environment, Climate Champion, Morocco and Ambassador Laurence Tubiana, Climate Champion, France presented their Roadmap of Action towards COP22<sup>67</sup>, and launched a consultative process<sup>68</sup> inviting all Parties and non-Party members to submit their input on the roadmap by August 1, 2016.

Their tasks are to “facilitate through strengthened high-level engagement in the period 2016-2020 the successful execution of existing efforts and the scaling-up and introduction of new or strengthened voluntary efforts, initiatives and coalitions (...).” (page 1)

<sup>66</sup> <http://newsroom.unfccc.int/media/658505/high-level-champions-climate-action-roadmap.pdf> or upper half of <http://newsroom.unfccc.int/climate-action/global-climate-action-agenda/>

<sup>67</sup> Road Map for Global Climate Action available from <http://www.cop22.ma/sites/default/files/high-level-champions-climate-action-roadmap.pdf>.

<sup>68</sup> Road Map for Global Climate Action. Invitation for submission. Available from <http://www.cop22.ma/sites/default/files/high-level-champions-invitation-submissions.pdf>.

This means in concrete terms, among other things (page 2):

- Building on existing initiatives such as the LPAA (item a.1), and – as more can be done – including representatives from local governments (...).
- Connecting initiatives with national action plans such as NDCs (item a.2), focusing on initiatives with the greatest impact on the ground (...). NDCs are the framework and vehicle for concrete planning and investment plans. “We will be calling for contributions from actors in all sectors to generate solutions that can help governments to implement what they have committed and to extend them further.” (p. 3) A new voluntary initiative on low-emission development strategies will be launched for Parties and non-Parties (including Cities and Regions) that should help to design and implement short-term actions, avoid lock-in and embark on an emission reduction pathway.
- Initiatives will continue to be self-organised but are supported to reach the official recognition they are seeking (item a.3). Transparency and credibility will be worked on jointly.
- The High Level Event on Climate Action at COP 22 in Marrakech is this year’s milestone (item b).

This roadmap indicates that areas are covered where CoR looks for support, namely finance, capacity building and technology; and where win-win situations can be constructed. The deadline is tight, but still feasible as of now (early June 2016)<sup>69</sup>!

The “**invitation for submissions**<sup>70</sup>” is slightly more concrete and includes questions<sup>71</sup> to stakeholders on all five of the following items<sup>72</sup>:

- “The *sense of urgency* that led to the Paris Agreement (...) must be sustained (item 1<sup>73</sup>). Notably, there is a need to quick-start implementation (...), create an interface with the real world and solutions, particularly the involvement of non-Party stakeholders; and maintain the political momentum.”

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<sup>69</sup> The authors of these pages are ready to provide support for such a submission by CoR

<sup>70</sup> <http://newsroom.unfccc.int/media/658506/high-level-champions-invitation-submissions.pdf> or lower half of <http://newsroom.unfccc.int/climate-action/global-climate-action-agenda/>

<sup>71</sup> Included as footnotes hereafter

<sup>72</sup> Italics for highlighting key thoughts are inserted by the authors of the present pages, G.A. & K.R.

<sup>73</sup> Is this general presentation an accurate description of the current state of play? If not, what can we do more?

- “As champions of global climate action, we believe that we need to be an interface between *action on the ground* and the UNFCCC negotiation process” (item 2<sup>74</sup>).
- “We need to *help non-Party stakeholders* achieve the recognition they seek.” (item 3<sup>75</sup>) “Therefore we intend to work on improving transparency of action and tracking of implementation to demonstrate the credibility of their work.”
- “The high-level climate champions will *facilitate*, through strengthened high-level engagement in the period 2016–2020, the *successful execution* of existing efforts and the *scaling-up* and *introduction* of new or strengthened *voluntary efforts*, initiatives and coalitions. The *high-level event at the Conference of the Parties* (COP) is now the main annual showcase of climate action.” (item 4<sup>76</sup>).
- “We intend to use the tools (...) such as the technical expert meetings (TEMs).” (item 5<sup>77</sup>).

“We would welcome all inputs and request that they be submitted to the secretariat by 1 August 2016.”<sup>78</sup> (page 3)

Starting from 22 June 2016, a series of preparatory events takes place in Morocco<sup>79</sup>.

The invitation for submission defines: “[Cities and Regions] are responsible for the implementation of more than 70% of EU legislation. They can act on urban planning, mobility, public transport, green public procurement, public lighting, social housing, public infrastructure, energy performance of buildings, green and blue infrastructures, education campaigns and regional subsidies.”

The present text includes several *lists of concrete actions* (suitable for cities and regions) that might be included in a potential submission by CoR (see Annex I on page 71 at the end of this report).

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<sup>74</sup> Is this an accurate description of the role the high-level climate champions should play with regard to the mobilization of non-state actors? Is there anything else they should do, or are there things mentioned here that they should not do?

<sup>75</sup> How do we assess the initiatives? What would be the ideal set of criteria? Who would assess them? What should be the role of the Non-State Actor Zone for Climate Action (NAZCA)?

<sup>76</sup> What do Parties and non-Party stakeholders expect from the high-level event at COP 22? To have a real impact at COP 24 in 2018, the Climate Action Summit showcasing the results of non-state actor initiatives would need to take place sufficiently in advance. Should it be organized in the summer of 2018?

<sup>77</sup> Do you share the belief that the format of the TEMs should evolve in the light of the Global Climate Action Agenda? How could we ensure that the TEMs are more solution-oriented?

<sup>78</sup> “Non-Party stakeholders may wish to use the following e-mail address when submitting their views: [secretariat@unfccc.int](mailto:secretariat@unfccc.int). We invite the secretariat to post the submissions on the dedicated page of the UNFCCC website (<http://unfccc.int/documentation/items/9636.php>) as they are received.” (page 3)

<sup>79</sup> See <http://newsroom.unfccc.int/climate-action/global-climate-action-agenda/#Events>



### 3.2.1.2 Further concrete action recommended to CoR

For a quick and practically-minded start, the following *further list* is suggested:

- Advise regions to participate in the negotiations though requesting to become part of their national delegation, or through approaching the LGMA constituency – thus having access to more meetings than just as an observer.
- Encourage CoR members to build alliances with other observers, such as industries (e.g. Japan – IT industry pushing for smart cities – Yokohama – Fuji).
- Identify champions – report under TEMs (now for mitigation and adaptation).
- Develop a joint vision – use synergies – identify local/regional goals (e.g. carbon neutrality).
- Regionalise sustainable development goals.
- Follow the implementation under the UNFCCC also from the perspective of constituted bodies (such as the TEC, Adaptation Committee, SCF) as an observer; try to influence their work plan, provide submissions as appropriate.
- Follow the Nairobi Work Programme, become a partner organisation.
- Introduce a regional price for carbon (additional tax, regional carbon trading scheme – like California, Shanghai etc.).
- Mobilise the public to support policies though cooperating with the European Economic and Social Committee, and establishing with relevant NGOs – become part of the solution instead of remaining part of the problem.
- Become attractive for research – provide funding for research institutes; become a host of relevant international conferences (e.g. the IPCC, the UNFCCC, host meetings of the Adaptation Committee or other relevant constituted bodies – such as the GCF, the SCF).

- Realize that there is a competition on leaders/leadership – try to become the region with the highest share of electric cars; the first region able to ban coal.
- The Climate Technology Centre and Network (CTCN) allows for project ideas (regarding both adaptation and mitigation) to be transformed into bankable projects (see chapter III.3);

and:

- Foster the cooperation between national governments and the Friends of Cities group. The Friend of Cities, facilitated by the LGMA constituency pledges to sit at the table with cities and regions representatives to actively include their role and support their requests within the negotiations. It is a very effective way to cooperate with Parties.
- CoR should foster their cooperation with the LGMA Constituency itself, as the focal point of all cities and sub-national governments' representatives within the UNFCCC process. The LGMA is actively part of all the processes that are listed as an “admitted” organization, recognized as one of the official constituencies at UNFCCC (LGMA is included in the ADP and TEC processes);

and additionally:

- “Cities & Regions” may act as observers in several more UNFCCC bodies.
- Make use of the “Momentum for Change Winners”<sup>80</sup>.
- At present, for GCF it seems that Cities & Regions have to follow the path of application via their governments whose approval is needed for all planned measures.
- Own submission by Cities & Regions, in analogy to and [http://unfccc.int/documentation/submissions\\_from\\_observers/items/7478.php](http://unfccc.int/documentation/submissions_from_observers/items/7478.php) (comparable submissions will be mentioned later in this report).
- Contribute to NAZCA (for details see other chapters and Figure on page 39). Existing examples: <http://climateaction.unfccc.int/>

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<sup>80</sup> See [http://unfccc.int/secretariat/momentum\\_for\\_change/items/6214.php](http://unfccc.int/secretariat/momentum_for_change/items/6214.php), <http://momentum.unfccc.int/>

- Look into side-events after Paris (see Climate Policy Observer).
- Take part in the APA process: on May 16-26, 2016 in Bonn: first meeting of the Ad Hoc Working Group on the Paris Agreement (APA 1) and subsequent meetings.
- Take part in the other events and side-events and propose strategic avenues including suitable financing for cities and regions.
- Encourage CoR members to comment on submissions by LGMA constituency and to advocate with their own national government - submissions can be made  
[http://unfccc.int/parties\\_observers/ngo/submissions/items/3689.php](http://unfccc.int/parties_observers/ngo/submissions/items/3689.php)
- Cities and regions could list their planned contributions in the next contribution under the INDCs (Intended Nationally Determined Contributions)/NDCs in order to strengthen their importance.
- Take note of the “*reflections*” after the Paris Conference<sup>81</sup>.

Readers may find detailed explanations on the *Lima-Paris Action Agenda (LPAA)* in Annex II on page 75 at the end of this text.

Concrete suggestions on “Specific action within bodies within the UNFCCC process” can be found in Annex III on page 78 at the end of this report.

### **3.2.2 Concretely plan an IPCC report on Cities and Regions**

Regarding the IPCC procedures, communities should provide critical input into the next global climate report, says Dr. Debra Roberts<sup>82</sup>. Regions should document (in a scientifically sound manner) their efforts, problems and potential solutions in order for it to be possible to reflect them in the IPCC AR6<sup>83</sup> [*even if – since the first version of this document – no progress has been made in this respect*]. Thus cities and regions could influence policy making after the Paris Agreement. This is a *very strategic approach*, targeting the “global stock-take” 2023. There is not too much time left for cities and regions to adopt this strategy, given that precursor reports are to be available until 2019 at the latest in order to be eligible for AR6. Additionally, the related drafts would have to be commented on and suitable material has to be included.

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<sup>81</sup> *Taking the Paris Agreement forward*. “Reflections note” by the President of the twenty-first session of the Conference of the Parties and the incoming President of the twenty-second session of the Conference of the Parties. 6<sup>th</sup> May 2016

<sup>82</sup> [http://horizon-magazine.eu/article/communities-should-provide-critical-input-next-global-climate-report-dr-debra-roberts\\_en.html](http://horizon-magazine.eu/article/communities-should-provide-critical-input-next-global-climate-report-dr-debra-roberts_en.html), compare [https://www.ipcc.ch/nominations/cv/cv\\_debra\\_roberts.pdf](https://www.ipcc.ch/nominations/cv/cv_debra_roberts.pdf)

<sup>83</sup> Expected next Sixth Assessment Report by the IPCC

Such research that includes input from communities and people working in areas affected by climate change should provide critical input into the AR6, the most relevant assessment report of the Intergovernmental Panel on Climate Change (IPCC) during the 6<sup>th</sup> assessment cycle.

According to National Geographic<sup>84</sup>, Mayors, worldwide city networks and urban stakeholders call for an IPCC Special Report (SR) on Cities and Climate Change: “The international community now has a huge opportunity to strengthen the momentum generated by COP21 and to drive urban policy-making, including during the upcoming Habitat III conference in October 2016. An IPCC Special Report on Cities and Climate Change would serve to clarify the potential governance, policy, and financial instruments to support mitigation and adaptation actions in urban areas, where more than half of the world’s population live.”

Over 25 organisations (including CoR) joined forces to show their support for the Special Report proposal, decided during the IPCC 43<sup>rd</sup> Session in Nairobi on April 11-13, 2015<sup>85</sup>. Despite this meeting having already taken place, however, these desirable decisions have not been made. Such a SR has not been agreed. In the light of this drawback, the more relevant are contributions to the AR6, including participation in the workshops that develop the scope of AR6. The decisions relevant for CoR have been: To recommend, within the AR6 scoping processes, a stronger integration of the assessment on the impacts of climate change on cities and their unique adaptation and mitigation opportunities, and make cities more considerate in their treatment of regional issues and provide chapters that are focused on human settlements, urban areas and the like, including through the enhanced engagement of urban practitioners.

Potential *action by CoR within the several UNFCCC bodies* is listed in Annex III on page 78.

Ongoing *deliberations within CoR on future CoR actions* are listed in Annex IV on page 81.

Annex V on page 84 provides information on *initiatives in the ongoing UNFCCC procedures*.

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<sup>84</sup> <http://voices.nationalgeographic.com/2016/04/07/for-an-ipcc-special-report-on-cities-and-climate-change/>, 7 April 2016

<sup>85</sup> [http://www.c40.org/blog\\_posts/mayors-city-networks-and-urban-stakeholders-worldwide-call-for-an-ipcc-special-report-on-cities-and-climate-change](http://www.c40.org/blog_posts/mayors-city-networks-and-urban-stakeholders-worldwide-call-for-an-ipcc-special-report-on-cities-and-climate-change), <http://voices.nationalgeographic.com/2016/04/07/for-an-ipcc-special-report-on-cities-and-climate-change/>

### 3.2.3 Quantitative potentials and options to act for Cities and Regions

A study commissioned by CoR<sup>86</sup> presents a brief history of the climate negotiations before Paris, including the positions of the main Parties, negotiating groups and other stakeholders are highlighted, as well as the Intended Nationally Determined Contributions (INDCs) submitted during 2015.

Detailed information on quantitative potentials is provided in Annex VI on page 90.

### 3.3 Mapping the financial opportunities for Cities and Regions

The *Climate Technology Centre and Network (CTCN)*<sup>87</sup> allows for project ideas (regarding both adaptation and mitigation) to be transformed into bankable projects. Such an application should be directed to the CTCN by the National Designated Entity. Per project, support could reach € 50,000 to 200,000 and includes suggestions for financing, if needed.

These institutions are further mentioned also in Annex V:

- Global Environment Facility (GEF, including Cities program, see also <https://www.thegef.org/gef/sustainable-cities>).
- Green Climate Fund (GCF).

More concrete information on “Supporting arguments from scientific journals” can be found in Annex VII on page 93 at the end of this report.

As a grand total, the report by the *Cities Climate Finance Leadership Alliance CCFLA* (2015)<sup>88</sup> estimates (on page 8) that “over the next 15 years, roughly \$93 trillion of infrastructure designed to be low-emission and climate-resilient will need to be built globally<sup>89</sup>”, more than 70% of this in urban areas<sup>90</sup> (readers

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<sup>86</sup> “International Climate Negotiations – On the Road to Paris - Issues at Stake in View of COP 21”. Provided by Policy Department A at the request of the Committee on the Environment, Public Health and Food Safety (ENVI). IP/A/ENVI/2015-09 November 2015 PE 569.970 EN, Directorate General for Internal Policies, Policy Department A: Economic and Scientific Policy

<sup>87</sup> [http://unfccc.int/ttclear/templates/render cms\\_page?TEM\\_ctcn](http://unfccc.int/ttclear/templates/render cms_page?TEM_ctcn) and <https://www.ctc-n.org/>

<sup>88</sup> CCFLA (2015) State of City Climate Finance 2015. Cities Climate Finance Leadership Alliance (CCFLA). New York.

<sup>89</sup> Amar Bhattacharya et al. (2015), “Driving sustainable development through better infrastructure: Key elements of a transformation program”, July 2015, Brookings, <http://www.brookings.edu/research/papers/2015/07/sustainable-development-infrastructure-bhattacharya>.

<sup>90</sup> The set of measures designed by CCFLE members to improve financial flow includes the following: 1. Engage with national governments to develop a financial policy environment that encourages cities to invest in low-emission, climate-resilient infrastructure; 2. Support cities in developing frameworks to price climate externalities; 3. Develop and encourage project preparation and maximise support for mitigation and adaptation projects; 4. Collaborate with local financial institutions to develop climate finance infrastructure solutions for cities; 5. Create a lab or network of labs to identify catalytic financial instruments and pilot new funding models (CCFLA, 2015, p. 9 and p. 32ff).

might wish to compare with this amount the “annual 200 billion”<sup>91</sup>). How climate finances are shared by several banks is shown in Figure 3.

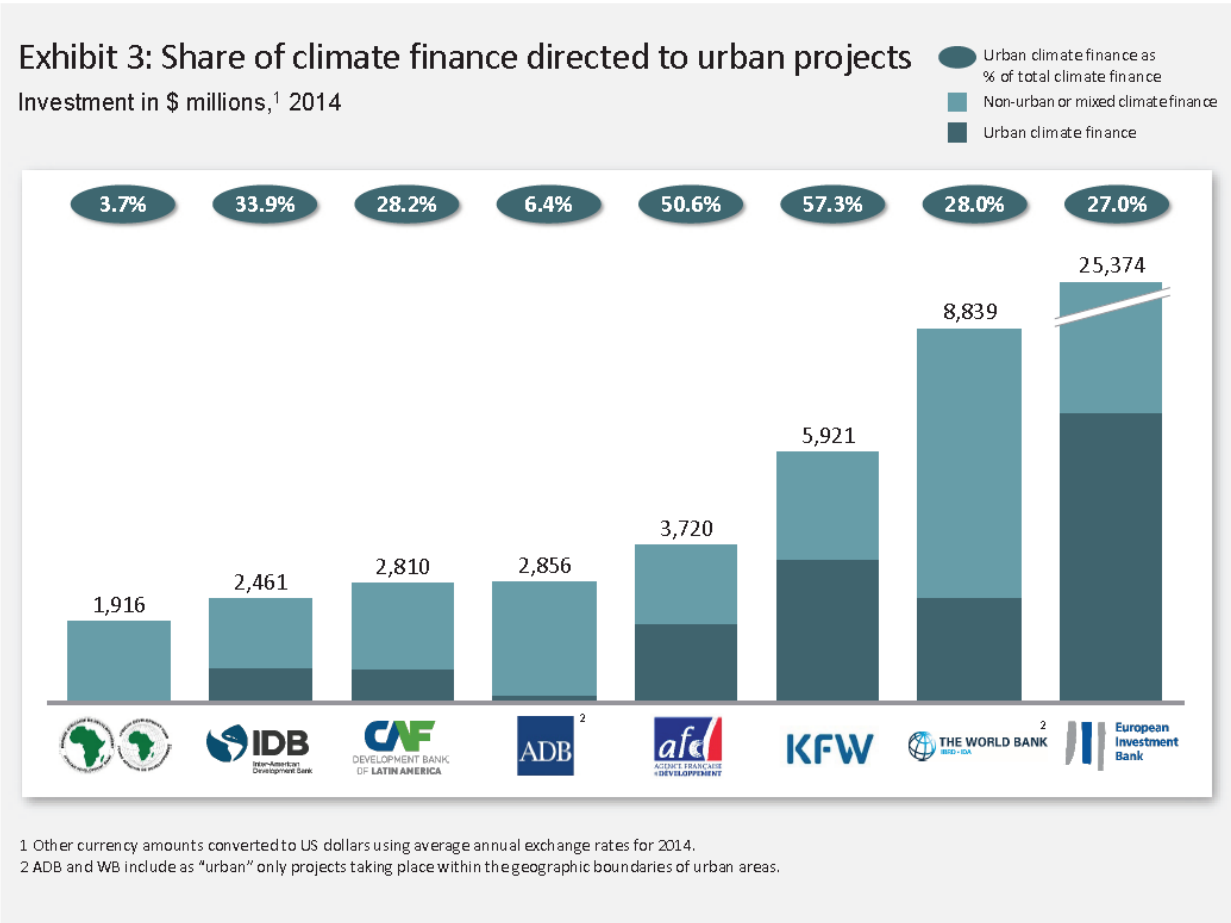


Figure 3: Share of climate finances directed to urban projects (CCFLE, 2015, p. 21).

As a recent initiative, the *Coalition for Urban Transitions*<sup>92</sup> plans to research the potential for contributing to an urban transition by exploring the following themes: building national policy frameworks, financing the urban transition, constructing the arguments, tracking new innovations.

The *Global Innovation Lab for Climate Finance*<sup>93</sup> is one of the initiatives (managed by CPI<sup>94</sup>) developing new and innovative financial instruments for private investment in climate protection and energy. Similarly, the “Energy Savings Insurance” is suitable for regions<sup>95</sup>. The other study managed by CPI is

<sup>91</sup> Mentioned for example in Barbara Buchner et al. (2014), The global landscape of climate finance. Climate Policy Initiative, November 2014. Further comparison of needed investment volumes for estimates for low-emission infrastructure is facilitated by the figure on page 16 of CCFLE (2015).  
<sup>92</sup> <http://www.coalitionforurbantransitions.org/home/about>  
<sup>93</sup> <http://climatefinancelab.org/>  
<sup>94</sup> Climate Policy Initiative, <http://climatepolicyinitiative.org/>  
<sup>95</sup> <http://climatefinancelab.org/idea/insurance-for-energy-savings/>

Finance for Resilience FiRe<sup>96</sup> which includes suggestions for sustainable cities and clean energy<sup>97</sup>.

As general information, the European Investment Bank (EIB) breaks down its climate action financing (Berg, 2016)<sup>98</sup> in the following way in Figure 4 and Figure 5. EIB takes action to amend earlier shortfalls (Figure 6).

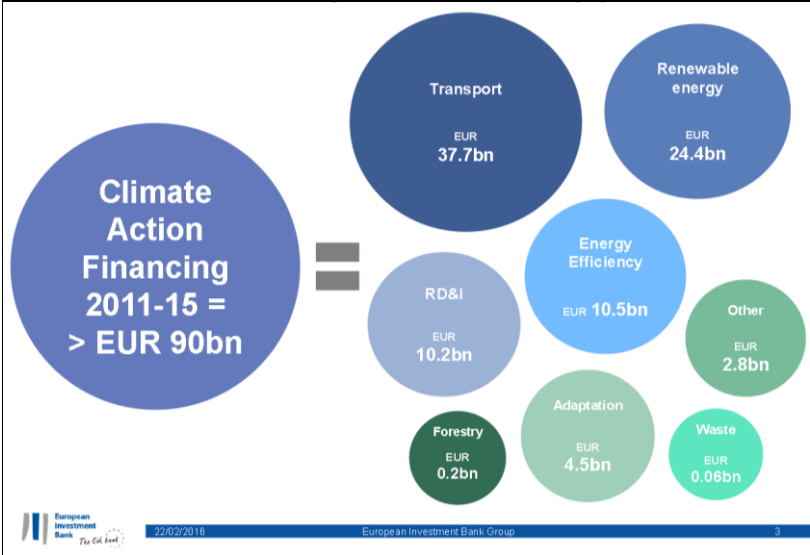


Figure 4: Breakdown of EIB Climate Action Financing by themes (Berg, 2016).

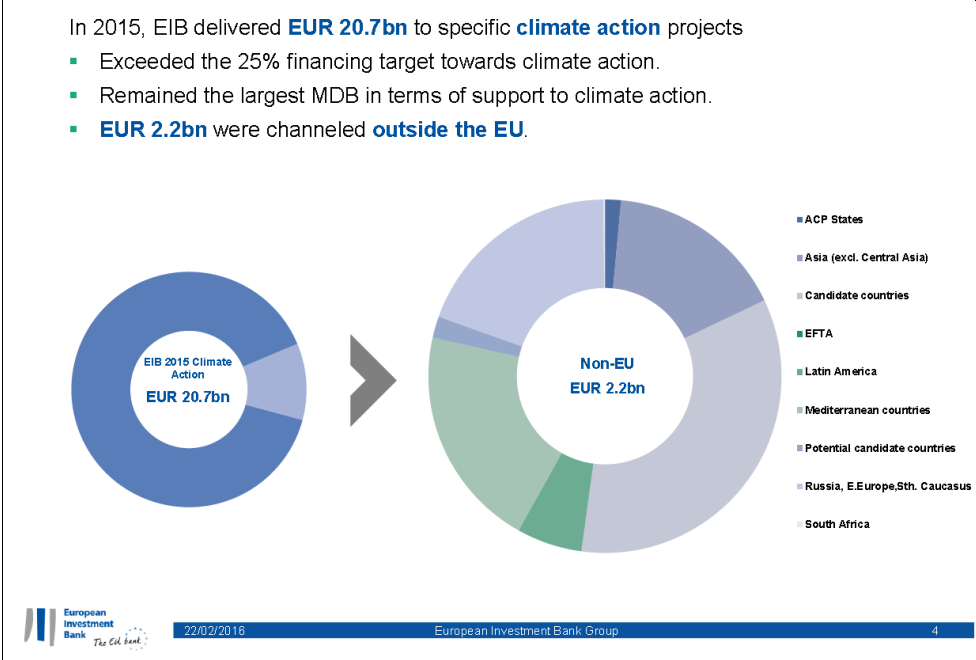


Figure 5: Breakdown of EIB Climate Action Financing by countries (Berg, 2016).

<sup>96</sup> <http://www.financeforresilience.com/>

<sup>97</sup> <http://www.financeforresilience.com/news/05-04-2016/finance-for-resilience-honors-four-winning-ideas-to-accelerate-investments-in-sustainable-cities-and-clean-energy/>

<sup>98</sup> Martin Berg (18. February 2016), Financing the Transition to a low-Carbon and Climate-Resilient Economy. Presentations at the Austrian climate workshop “Beyond Paris: Fostering Low-Carbon Development and Climate Resilience, Vienna.

## Implementing the NDCs – LDC Investment Needs

- Almost all the **Least-Developed Countries** (LDCs) have delineated how they plan to contribute to post-2020 global climate action — through their **NDCs**.
  - Many LDC NDCs considerably differ on both their start date and length of implementation.
  - Timeframe of LDC NDCs can vary significantly between domestic adaptation and mitigation programmes.
  - The cost for all LDCs to implement their NDCs is estimated to be around **USD 93.7bn p.a.**
- Although 'new and additional' USD 100bn was promised to all developing countries under the Cancun Agreement, only 1/3 of climate finance reaches the LDCs
- In addition to mitigation and adaptation efforts, meeting LDC NDCs requires delivering finance requests for **capacity building** and **technology transfer** activities.

## EIB Response: Climate Strategy

Complementing EIB's volume-driven approach, **EIB's 2015 Climate Strategy** will help implement the Paris Agreement inside and outside the EU by focussing on three key-areas:

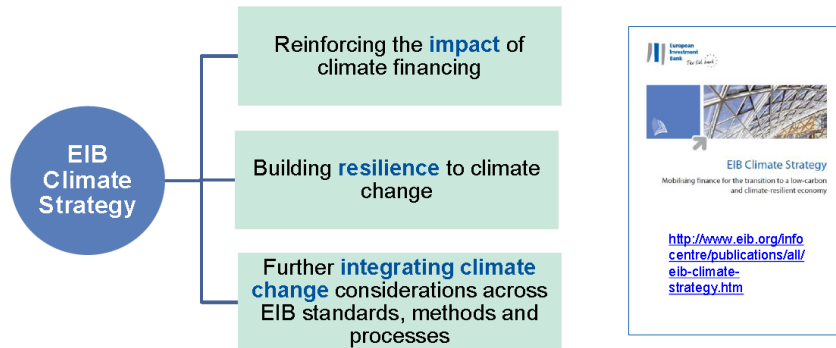


Figure 6: The EIB response (below) to shortfalls in climate policy (above) (Berg, 2016).

Actually, EIB says to take a leading role in climate action (Figure 7)<sup>99</sup>

**As the EU bank, the European Investment Bank (EIB) has made climate action one of its top priorities and developed a leading position among international finance institutions in this area**

<sup>99</sup> <http://www.eib.org/infocentre/publications/all/eib-climate-strategy.htm?lang=en>

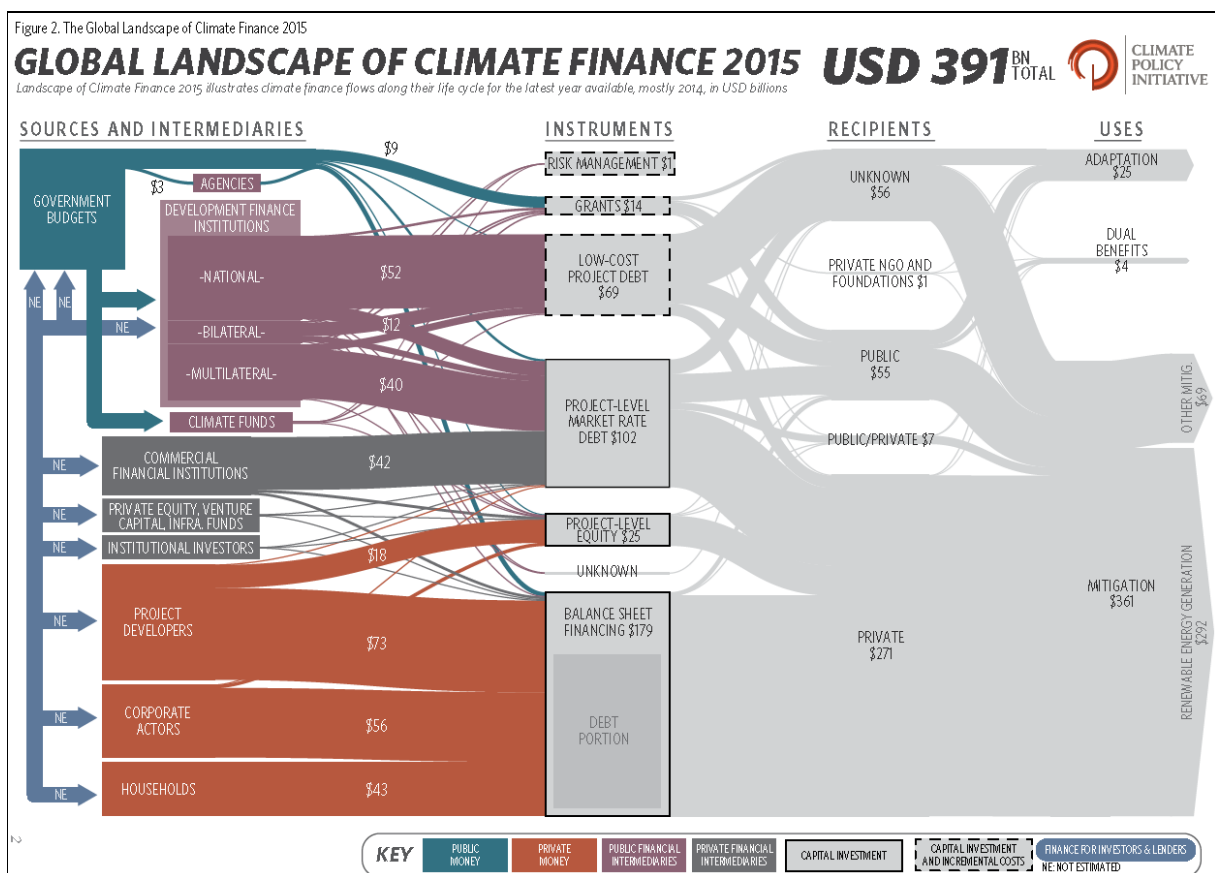


**To play a leading role, amongst financial institutions, in mobilising the finance needed to achieve the worldwide commitment to keep global warming below 2°C and to adapt to the impacts of climate change**

*Figure 7: The EIB says to take action.*

In light of the above, the suggestion of this text is to still better include the needs of cities and regions in the EIB targets.

The *Climate Policy Initiative* (CPI) has undertaken a thorough analysis (CPR, 2015)<sup>100</sup> and established a **flow diagram of global climate finance for 2015** (Figure 8).



*Figure 8: Global landscape of Climate Finance (CPI, 2016).*

The abstract of the equally important OECD report (2015)<sup>101</sup> provides the following information:

Developed countries are jointly committed to mobilising **USD 100 billion a year** in climate finance by 2020 for climate action in developing countries. Five years after the initial commitment was made at COP15 in Copenhagen in 2009,

<sup>100</sup> Barbara Buchner's reports: Source: <http://climatepolicyinitiative.org/wp-content/uploads/2015/11/Global-Landscape-of-Climate-Finance-2015.pdf>

<sup>101</sup> OECD (2015), "Climate finance in 2013-14 and the USD 100 billion goal", a report by the Organisation for Economic Co-operation and Development (OECD) in collaboration with Climate Policy Initiative (CPI). Online: <http://www.oecd.org/environment/cc/OECD-CPI-Climate-Finance-Report.htm>

and six years ahead of the target date of 2020, this report provides a status check on the level of climate finance mobilised by developed countries in 2013 and 2014. There has been significant progress in meeting this goal. The preliminary estimates provided in this report are that climate finance reached USD 62 billion in 2014 and USD 52 billion in 2013, equivalent to an annual average over the two years of USD 57 billion. The report aims to be transparent and rigorous in its assessment of the available data and the underlying assumptions and methodologies, within the constraints of an aggregate reporting exercise. Methodological approaches and data collection efforts to support estimates such as this one are improving. Nevertheless, there remains significant work to be done in order to arrive at more complete and accurate estimates in the future, as outlined in the report. The OECD and CPI stand ready to support such efforts.

Cities and regions can make use of **manifold pathways of financing** (Cicero & CPI, 2015)<sup>102</sup>, see Figure 9. This report further clarifies the different roles in financing (page 5):

*There is a distinct role for public finance to play as key driver.* By making catalytic use of public resources, governments can encourage and support the delivery of a low-emission and climate-resilient economy and reduce costs and risks for the necessary investments.

*Public grant finance remains important in supporting the poorest and particularly vulnerable countries that cannot attract private investments, and activities which may experience difficulties in attracting private finance such as some adaptation activities. Public grant finance plays a catalytic role by supporting developing countries' efforts to establish the policies, frameworks, and institutional and technical capacity essential for shifting public and private investments toward actions that tackle climate risks and build resilience.* Nevertheless, effective partnerships with the private sector regarding adaptation should be pursued.

It further states: “In global terms, **private capital is the largest source of climate investment flows**, but the full potential is still not realized as new financial systems and products to address credit, financial and liquidity risks still require improvement”. (p. 38)

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<sup>102</sup> Source: Background Report on Long-term Climate Finance, prepared for the German G7 Presidency 2015 by CICERO and Climate Policy Initiative, <http://climatepolicyinitiative.org/wp-content/uploads/2015/06/2015-Background-report-on-long-term-climate-finance.pdf>.

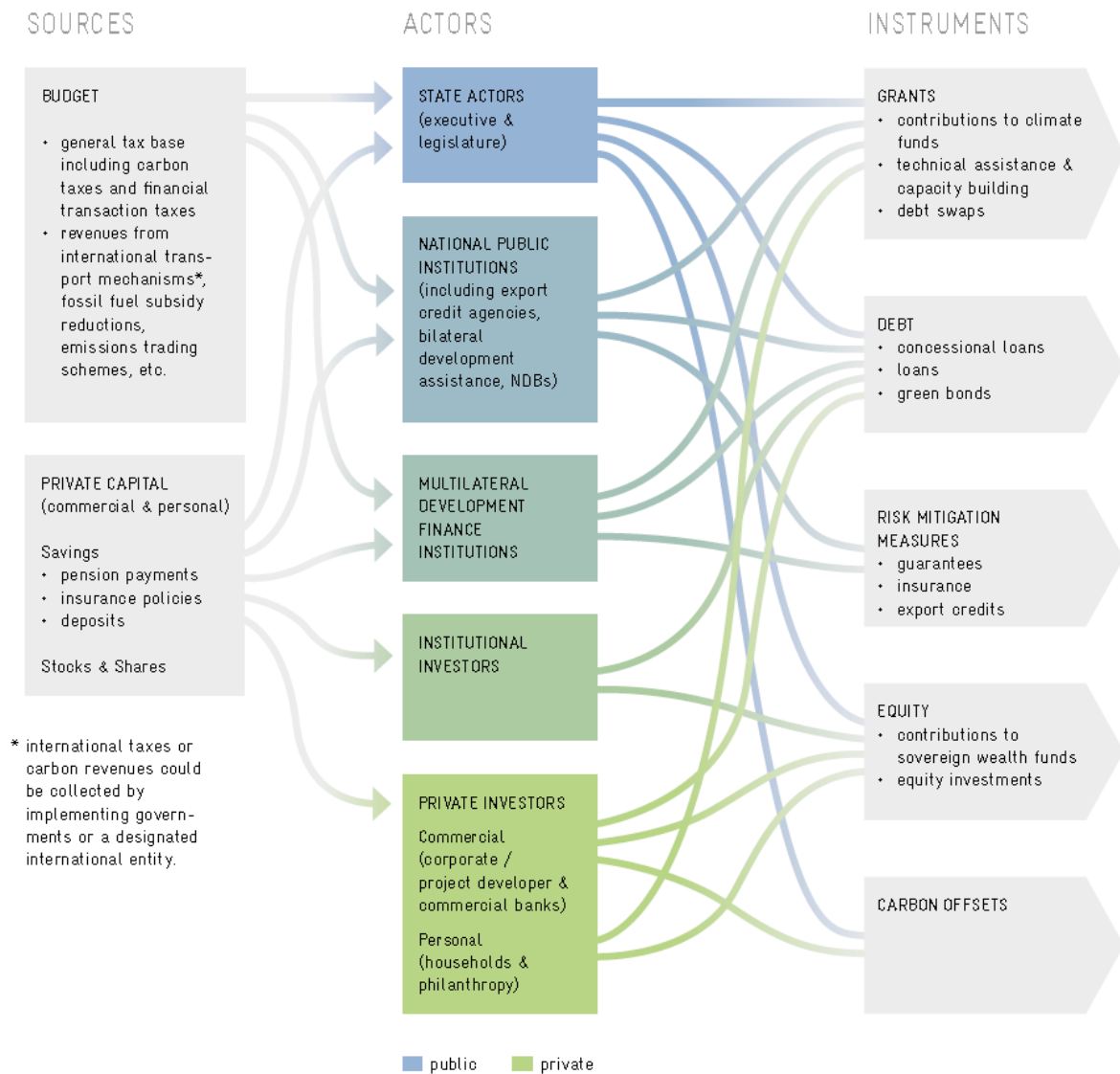


Figure 9: Sources, actors and instruments in global climate finance (Cicero & CPI, 2015, page 6 or 35).

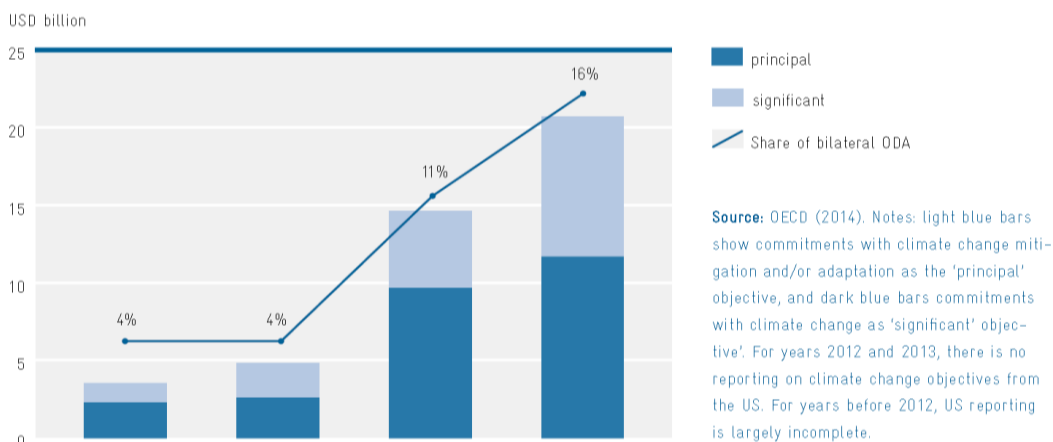


Figure 10: Trends in bilateral climate-related ODA, 3-year annual averages, 2002-2013, bilateral commitments, in US\$ billion, constant 2012 prices (Cicero & CPI, 2015, p. 38).



# PART IV – Summary of Paris Agreement

This chapter identifies the provisions of the Paris Agreement and the Paris COP decision (1/CP.21) that directly refer to cities and regions, or that indirectly create opportunities for cities and regions to engage more effectively in the UNFCCC process. It will also compare the requests and positions of cities and regions for the Paris COP with the actual outcome of COP21.

## 4.1 The Paris Agreement

On 12 December 2015, 195 countries and the EU adopted the Paris Agreement. The new climate agreement is the outcome of almost a decade of negotiations under the UNFCCC. The first attempt to agree on a new treaty that would spur climate action by all countries had failed in 2009 in Copenhagen. However, the intensive diplomatic efforts in the run up to the COP21 in Paris, the broader political momentum across stakeholders and the increasing urgency of the climate action delivered what many consider a historic milestone in the world's endeavour to tackle climate change.

The Paris Agreement is a treaty under international law that will be legally binding for its parties once it enters into force. Both developing and developed countries agree to take action towards a long-term global goal of keeping temperature increase well below 2°C.

The Agreement also sets out the collective goal to balance emissions by the 2<sup>nd</sup> half of the century. This falls short of the LGMA demand to achieve carbon neutrality already by 2050. The agreement does also not establish a goal for renewable energy.<sup>103</sup>

The agreement establishes obligations for all countries to prepare climate action plans - so-called “nationally determined contributions” (NDC)- in five-year cycles. However, the agreement does not prescribe the content or level of ambition of the NDCs, and countries are not actually obliged to fulfil their NDCs.<sup>104</sup> While the intended nationally determined contributions that countries have presented in the run up to Paris are numerous, they still fall short of setting the world on track towards the well below 2°C target.<sup>105</sup>

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<sup>103</sup> See LGMA submission from 1 December 2015

<sup>104</sup> Bodle, Ralph, Lena Donat and Matthias Duwe (2016). The Paris Agreement: Analysis, Assessment and Outlook. German Federal Environment Agency (UBA) Research Paper. Dessau-Roßlau: Umweltbundesamt

<sup>105</sup> UNFCCC Synthesis report- UNFCCC Doc FCCC/CP/2015/7 – available online at <http://unfccc.int/resource/docs/2015/cop21/eng/07.pdf>

In order to promote the implementation of NDCs and to increase ambition over time, the Agreement creates a transparency framework and a regular global stocktake to assess progress towards the Agreement’s objectives and long-term goals. The transparency framework, also called “review”, aims to track a country’s progress towards achieving its NDC, based on national emission inventories and implementation reports, which are to be submitted at least every two years; a technical review of the correctness of the information; and a multilateral consideration of the progress of NDC implementation (frequency still to be decided). Based on this and other information, the global stocktake compares every five years the sum of efforts with the temperature and global emission goal, and also assesses other aspects of implementation. It takes place in between the NDC cycles to inform the formulation of subsequent NDCs. A pre-version of the stocktake will take place in 2018, called “facilitative dialogue”. Finally, the Agreement also establishes a compliance mechanism, details of which still need to be decided. It is not yet determined how the different schemes will interact.

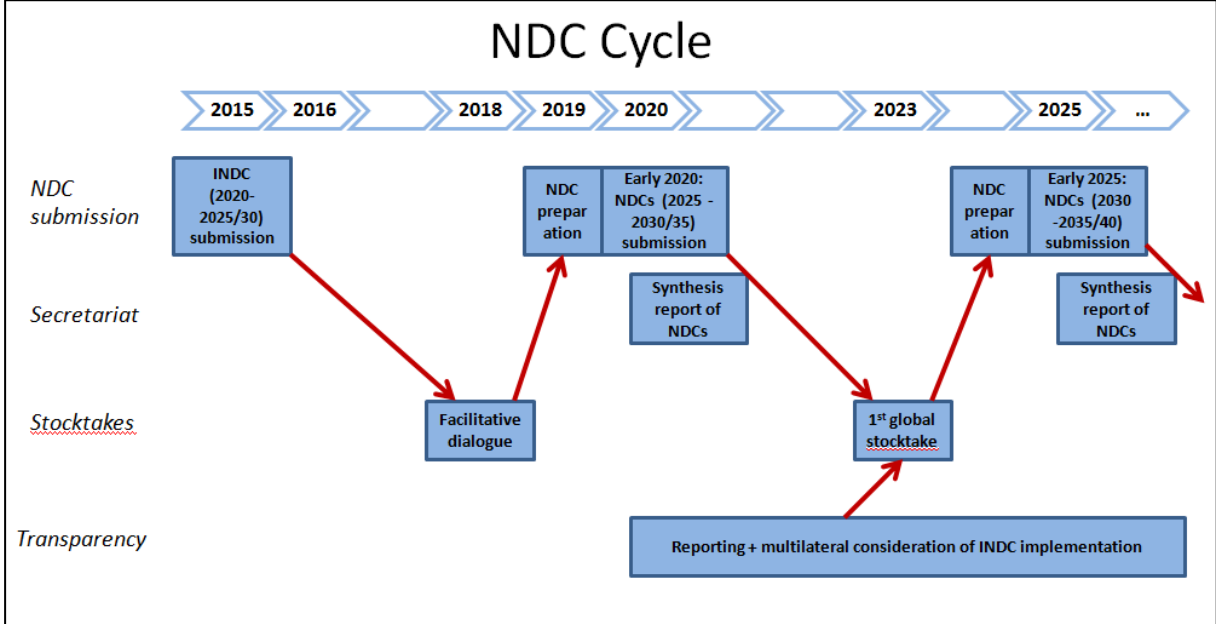


Figure 11: Source: Based on Bodle, Ralph, Lena Donat and Matthias Duwe (2016). The Paris Agreement: Analysis, Assessment and Outlook. German Federal Environment Agency (UBA) Re-search Paper. Dessau-Roßlau: Umweltbundesamt

Whether the Paris Agreement will actually turn out to be a success will depend on sustained political momentum at all levels, the will to increase the ambition of climate actions over time, and the actual implementation at national and subnational level.<sup>106</sup>

<sup>106</sup> Bodle, Ralph, Lena Donat and Matthias Duwe (2016). The Paris Agreement: Analysis, Assessment and Outlook. German Federal Environment Agency (UBA) Re-search Paper. Dessau-Roßlau: Umweltbundesamt

Throughout the negotiations on the Paris Agreement, cities and regions have called for formal recognition of their climate actions and increased opportunities for engagement in the UNFCCC process. They have highlighted their decisive role in implementation and in bringing forward innovative mitigation and adaptation solutions.<sup>107</sup>

However, while the role of subnational governments and the substance of these arguments is not in doubt, there are legal and political challenges to formally recognising them in a treaty. International agreements do not normally oblige subnational governments because the latter by default do not have the legal capacity to be subject to international rights and obligations. In addition, subnational governments are a part of the countries that are parties to the treaty. In political terms it is difficult to place sub-national entities on legally equal footing with their “superiors”. It was thus not obvious how the Paris Agreement could or would specifically address cities and regions.<sup>108</sup>

## 4.2 Explicit references to cities and regions in the Paris outcome

The outcome of COP21 is a legally binding treaty (“Paris Agreement” PA), and an accompanying COP decision (“Paris Decision”, 1/CP.21). The Paris Agreement does not replace but complements the UNFCCC, and builds on many elements that have already been established in or under the UNFCCC. The Paris Decision addresses details and work programmes relating to the Paris Agreement, as well as issues related to the pre-2020 period.

The **Paris Agreement** itself refers to sub-national governments only in its preamble and recognizes the relevance of these actors.

*“Recognizing the importance of the engagement of all levels of government and various actors in accordance with respective national legislations of Parties, in addressing climate change”*

The preamble is part of the binding Agreement text, but preambular provisions are commonly regarded as non-operative, which corresponds to the drafting of this paragraph.

With regard to the substantive obligations of the Paris Agreement, none of them directly refers to “cities”, “regions”, “subnational governments”, “levels of government” or “non-party stakeholders”. The agreement does not recognize

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<sup>107</sup> Tollin (2016). The role of cities and local authorities following COP21 and the Paris Agreement

<sup>108</sup> Bodle, Ralph, Lena Donat and Matthias Duwe (2016). The Paris Agreement: Analysis, Assessment and Outlook. German Federal Environment Agency (UBA) Re-search Paper. Dessau-Roßlau: Umweltbundesamt

their actions, confer rights, or establish requirements for their involvement. For the most part the Paris Agreement does not address the subnational level either way. However, the Articles on adaptation and capacity building do recognize that other government levels are impacted or should at least be considered.

Article 7(2) recognizes that adaptation concerns all levels but in soft language and without prescribing any action.

*“Parties recognize that adaptation is a global challenge faced by all with local, subnational, national, regional and international dimensions, [...]”*<sup>109</sup>

Article 11(2) establishes principles for capacity building under the PA, including the principle of country ownerships at all levels.

*“Capacity-building should be country-driven, based on and responsive to national needs, and foster country ownership of Parties, in particular, for developing country Parties, including at the national, subnational and local levels”*<sup>110</sup>

It does not come as a surprise that the Paris Agreement itself does not directly address sub-national governments given the specific characteristics of international law being principally directed at states.

In contrast, the **Paris Decision** particularly recognizes actions by non-Party stakeholders and encourages closer cooperation with them.

In the preamble, UNFCCC Parties agree to foster climate action also by subnational authorities.

*“Agreeing to uphold and promote regional and international cooperation in order to mobilize stronger and more ambitious climate action by [...] non-Party stakeholders, including [...] cities and other subnational authorities”*

The operative provisions of the Decision encourage Parties to “work closely with non-Party stakeholders to catalyse efforts to strengthen mitigation and adaptation action” (para. 118). However, the decision does not give more precise guidance on how this cooperation could be improved. The decision does not, for instance, call on Parties to incentivize non-Party actions through regulatory, institutional and financing frameworks, as LGMA had proposed.

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<sup>109</sup> In UN terminology „regional“ means a supra-national conglomeration of states; „subnational and local“ corresponds to EU terminology for „local and regional“.

<sup>110</sup> Emphasis added



## The term “Non-Party Stakeholders”

The term “non-Party stakeholders” has not appeared before Paris either in the UNFCCC, the Kyoto Protocol or COP/CMP decisions. Earlier decisions often referred to non-governmental organisations when calling for stakeholder engagement. Subnational governments fell between the cracks because they are neither Parties nor non-governmental organisations.

The term “non-Party stakeholders” is meant to cover both non-state actors (e.g. civil society, academia, private sector) and governmental stakeholders that are not Parties (i.e. subnational governments). The Paris decision lists a number of actors which fall under this definition, “civil society, the private sector, financial institutions, cities and other subnational authorities” (para 133, 1/CP.21).

The Paris Decision furthermore provides for a number of **channels or fora** in which Non-Party stakeholders are encouraged to participate.

First, these stakeholders to scale-up their efforts and showcase these on the Non-State Actor Zone for Climate Action (**NAZCA**) platform (paras 117; 133-134). The NAZCA platform was launched in 2014 by the Peruvian and French COP presidencies alongside the Lima Paris Action Agenda (LPAA) and serves as an online tool where climate actions can be registered and made visible (see Part I).

Second, stakeholders are encouraged to participate in the **technical examination processes**. The process on mitigation (TEP-M) was established in 2014 to identify high-potential mitigation options<sup>111</sup>. For this purpose, regular technical expert meetings on specific thematic areas are held during the UNFCCC sessions. One of these meetings was specifically dedicated to the Urban Environment and complemented by a Forum on experiences and best practices of Cities and Subnational Authorities.<sup>112</sup> This involvement in a technical, less or confrontational setting should not be underestimated. The Paris Decision calls for closer involvement of experts from non-Party stakeholders (para 109).

A similar process was established in Paris also for adaptation (TEP-A) to enhance pre-2020 adaptation action (para 124-132). While the modalities for this process have not yet been agreed, the Paris Decision states it should build on the lessons from the TEP-M, which provides strong grounds for engaging non-Party experts. The first two TEP-A meetings already took place at the 2016

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<sup>111</sup> <http://climateaction2020.unfccc.int/tep/>

<sup>112</sup> <http://unfccc.int/bodies/awg/items/8170.php>

Bonn intersessional meeting and involved experts from non-Party stakeholders though non governmental stakeholders.<sup>113</sup>

Third, the COP decided to continue to hold a **high-level event** at each COP (2016-2020). This process had started in Lima in 2014 with the launch of the Lima Paris Action Agenda (LPAA). The LPAA was a joint initiative of the Peruvian and French COP presidencies, the Office of the Secretary-General of the United Nations and the UNFCCC Secretariat to mobilize climate action, involving both state and non-state actors. As part of the LPAA, the French presidency held a High-Level Meeting on Climate Action as well as thematic action days.<sup>114</sup> COP21 decided to continue to hold high level events that link back to the outputs from the TEP-M and TEP-A, present an opportunity to showcase actions and allow for engagement of high-level stakeholders. This explicitly includes engagement of non-Party stakeholders (para 120).

Finally, COP21 agreed to appoint two **Climate Champions**, elected by the incoming and outgoing COP presidencies. The role of these champions is to engage with all actors, including non-Party stakeholders, so as to foster cooperation on climate action. The champions organise the high-level events, follow-up with stakeholders on the voluntary initiatives presented under the LPAA and give guidance to the TEMs. The first climate champions were appointed in May 2016 as Dr. Hakima El Haite, Delegate Minister in Charge of Environment, Climate Champion, Morocco and Ambassador Laurence Tubiana, Climate Champion, France. They have recently presented a roadmap, the **Global Climate Action Agenda**, in which they state that they want to “be an interface between action on the ground and the UNFCCC negotiation process, and between non-Party stakeholders and Parties”<sup>115</sup>. They seek to connect voluntary initiatives with NDCs and called on Parties and non-Party stakeholders to prepare mid-century low-emission development strategies.

Global Climate Action Agenda		
Furthering initiatives of the <b>Lima-Paris Action Agenda</b>	Guidance on <b>high-level events</b>	Guidance on <b>technical expert meetings</b>

Source: Author’s own work

<sup>113</sup> [http://unfccc.int/focus/adaptation/technical\\_expert\\_meeting/items/9537.php](http://unfccc.int/focus/adaptation/technical_expert_meeting/items/9537.php) and [http://unfccc.int/focus/adaptation/technical\\_expert\\_meeting/items/9538.php](http://unfccc.int/focus/adaptation/technical_expert_meeting/items/9538.php)

<sup>114</sup> <http://newsroom.unfccc.int/lpaa/about/#LPAA%20Presentation>

<sup>115</sup> UNFCCC (2016). Global Climate Action Agenda Climate Champions Release Detailed Roadmap. Online available at: <http://newsroom.unfccc.int/climate-action/global-climate-action-agenda/>

Since the Champions function as a link between different processes, they can serve as a valuable contact point for cities and regions. The Champions have called for submissions by Parties and non-Party stakeholders on the high-level events, the TEMs and on how to track initiatives presented under the LPAA. The deadline for submissions is 1 August 2016.<sup>116</sup> Engaging with the Champions can allow cities and regions to influence, at a high political level, the way processes, especially the high-level events and the TEM, are managed.

### 4.3 Processes and mechanisms relevant to cities and regions

In addition to these explicit references to non-Party stakeholders, the Paris outcome establishes processes or mechanisms through which cities and regions could potentially influence the actions of their national governments.

The first and foremost to mention are the facilitative dialogue and the global stocktake:

The **facilitative dialogue** (Paris Decision para 20) will take place in 2018 to assess the collective efforts of Parties with a view to the long-term goal of achieving peaking of GHG emissions as soon as possible and a balance by the second half of the century (see goal in Article 4.1 Paris Agreement). The outcome of the dialogue is supposed to inform the preparation of the next round of NDCs, i.e. those covering the period from 2025 onwards

The modalities of this stocktake have not yet been agreed. It is probable that the updated synthesis report by the Secretariat on the INDCs of May 2016, and the IPCC Special Report on the 1.5° temperature increase will be the most important inputs to the dialogue. The dialogue could be a significant moment for pushing ambition of future NDCs, identify further mitigation options etc.

However, whether this dialogue will be a party only session, whether ministers will be involved or which role experts and non-Party stakeholders could play is still to be decided. There were only very initial discussions on the modalities at the interim session in Bonn in May 2016.<sup>117</sup> Given that the modalities of the facilitative dialogue may be quite controversial, Parties might prefer to leave the organisation to the COP presidency and the Secretariat.

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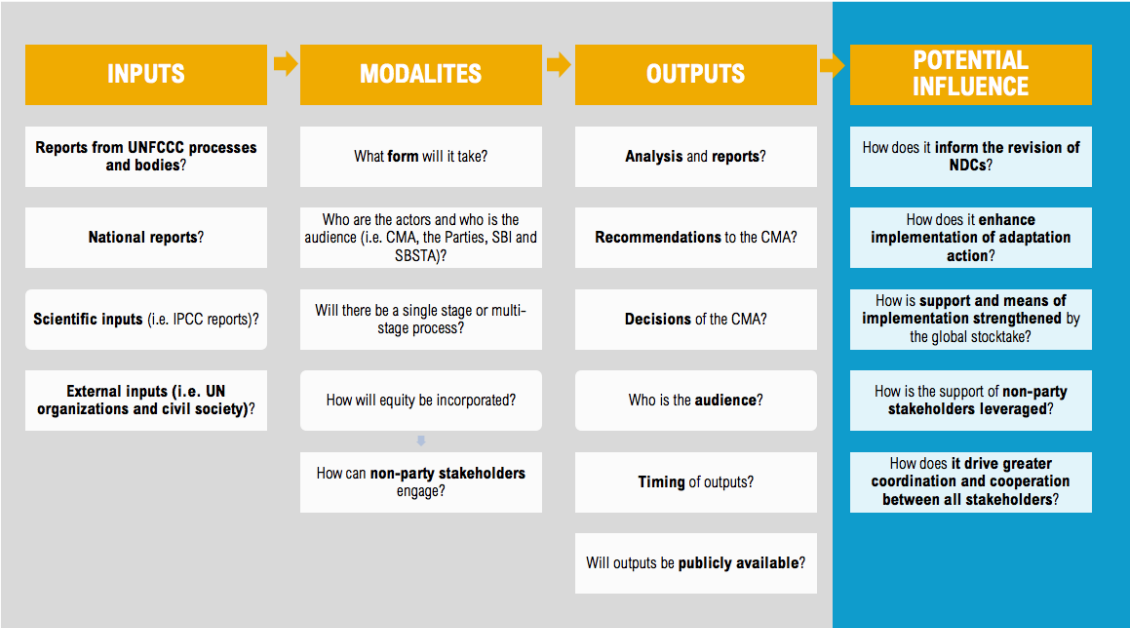
<sup>116</sup> UNFCCC (2016). Global Climate Action Agenda Climate Champions Release Detailed Roadmap. Online available at: <http://newsroom.unfccc.int/climate-action/global-climate-action-agenda/>

<sup>117</sup> See IISD Reporting Services (2016) Earth Negotiations Bulletin, Summary of the Bonn Climate Conference, 16 – 26 May 2016. Vol. 12 No. 676

The **global stocktake** will take place every five years starting in 2023. It will have a similar role as the facilitative dialogue but cover also adaptation, means of implementation and support. The stocktake will assess progress not only towards the mitigation goal in Article 4.1 but also towards the overall purpose of the Paris Agreement under Article 2 and its long-term goals. The outcomes of the stocktake “shall inform” the actions and support of Parties. Most importantly, the Paris Agreement stipulates that Parties’ NDCs shall be informed by the outcomes of the stocktake. It remains to be seen whether the global stocktake lives up to its potential to be the most important mechanism of the Paris Agreement for raising ambition and creates the opportunity for maintaining real momentum in the negotiations.

Also for the global stocktake, the design still needs to be agreed by Parties. This includes questions on the inputs, modalities, outputs and how it can successfully trigger an increase in ambition. At the first exchange of ideas at the 2016 intersessional, there was potential convergence that the stocktake could have a technical and a political element. The World Resources Institute summarised these questions in the following graph:

### Key Questions for the Design of the Global Stocktake



WORLD RESOURCES INSTITUTE

Figure 12: Source: Eliza Northrop, Cynthia Elliott and Melisa Krnjaic (2016) INSIDER: 4 Key Questions for the Design of the Global Stocktake. World Resources Institute. Online available: <http://www.wri.org/blog/2016/05/insider-4-key-questions-design-gl>

Cities and regions could aim to influence each of these elements.

- ▶ **Inputs:** The most relevant sources will be UNFCCC documents (e.g. national reports, reports from the UNFCCC bodies) and scientific inputs (especially IPCC reports). However, some parties have also proposed to consider inputs from non-state actors.<sup>118</sup> Cities and regions could, for example, provide information and examples of workable mitigation options that could be easily transferred to other areas of the world. They could also provide information on the remaining barriers on the ground.
- ▶ **Modalities:** There are proposals by Parties to draw from the experience of the 2013-2015 Review under the UNFCCC which assessed the adequacy of and progress towards the long-term temperature goal of below 2°C.<sup>119</sup> Under the Review, a structured expert dialogue was established to gather knowledge from experts from United Nations agencies and other organizations, regional organisations and especially the IPCC. The involvement of non-Party experts kept the discussions in this forum less politicised and more informative than the UNFCCC negotiations normally run. Cities and regions could showcase positive examples of climate actions and participate in debates on barriers. To be able to do this, the modalities of the stocktake would need to stipulate the involvement of non-Party stakeholders.
- ▶ **Outputs and potential influence:** If the stocktake is to increase ambition, it should not only highlight the ambition gap but also show real-world opportunities for mitigation and adaptation. It should not only target action at national level but incentivise all stakeholders, including sub-national governments, to strengthen climate action. Cities and regions know best what kind of outputs, recommendations or messages would enable and incentivise them to increase their actions on the ground. They could thus try to influence already the design of the stocktake with respect to the formats of the outputs. To be able to influence the content of the outputs they will need to ensure that they are involved in the stocktake process (see Modalities above).

Some authors have also proposed that non-Party stakeholders could play a role in the implementation and **compliance mechanism** (Article 15).<sup>120</sup> The mechanism is to “facilitate implementation of and promote compliance with the

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<sup>118</sup> IISD Reporting Services (2016) Earth Negotiations Bulletin, Summary of the Bonn Climate Conference, 16 – 26 May 2016. Vol. 12 No. 676

<sup>119</sup> IISD Reporting Services (2016) Earth Negotiations Bulletin, Summary of the Bonn Climate Conference, 16 – 26 May 2016. Vol. 12 No. 676

<sup>120</sup> SEI (2016). How non-state actors can contribute to more effective review processes under the Paris Agreement

provisions” of the Paris Agreement.<sup>121</sup> The modalities of this mechanism still need to be agreed, and this might take several years. The final design and usefulness of the mechanism is difficult to predict, given the controversy around the mechanism, especially one that applies to all parties, and the mainly procedural nature of obligations. It is, for instance, unlikely that the compliance mechanism would check Parties’ compliance with their NDCs because the implementation of NDCs is not legally binding in a strict sense. Whether the mechanism would draw on information gathered under the transparency scheme and the global stocktake, and which actors will be involved, has not yet been determined. Compliance mechanisms as they have been designed under other multilateral environmental agreements usually do not foresee a role for non-Party stakeholders.<sup>122</sup> The compliance mechanism thus does not seem as a priority entry point for cities and regions at this point of time.

#### **4.4 Access to UNFCCC funding mechanisms**

Cities and regions have called for privileged access to the funding mechanisms under the UNFCCC, especially the Green Climate Fund (GCF), and the Adaptation Fund (AF) which is under the Kyoto Protocol.<sup>123</sup>

The Paris Agreement provides that the Financial Mechanism of the UNFCCC is to serve the Paris Agreement – this includes the GCF, as well as Global Environmental Facility, the Least Developed Countries Fund and the Special Climate Change Fund. This means that these funds will continue to play an important role for climate finance. Particularly the GCF is considered as “a key actor to significantly shape the post-Paris climate change implementation agenda towards the transformation that the Paris agreement aspires.”<sup>124</sup> The AF, which is not established directly under the UNFCCC but the Kyoto Protocol can only serve the PA if the Conference of Parties serving as the Meeting of the Parties to the Paris Agreement (CMA) and the Conference of Parties serving as the Meeting of the Parties to the Kyoto Protocol (CMP) agree to this.

Especially cities need to play a crucial role in this transformation given that they are responsible for large shares of GHG emissions and at the same time known as innovation hubs. The GCF has recognized urban areas as initial result areas under the adaptation as well as mitigation window. However, NGOs and cities

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<sup>121</sup> Article 15(1) Paris Agreement

<sup>122</sup> See Kyoto Protocol, Minamata Convention on Mercury. One notable exception is the Aarhus Convention.

<sup>123</sup> See Cecile Barbieri (2015). Europe’s regions demand financing for climate action . Online available at: <http://www.euractiv.com/section/climate-environment/news/europe-s-regions-demand-financing-for-climate-action/>

<sup>124</sup> Lisa Junghans (2016). OPINION: the Green Climate Fund and city leaders: step up your game! Online available at: [http://cdkn.org/2016/05/opinion-green-climate-fund-city-leaders-step-game/?!oclang=en\\_gb](http://cdkn.org/2016/05/opinion-green-climate-fund-city-leaders-step-game/?!oclang=en_gb)

claim that “clear operationalisation pathways for the GCF to reach the subnational level are still lacking.”<sup>125</sup>

Most international funds allow access to funding only via UN institutions or multilateral banks which triggered criticism that these institutions were too far away from the local level. Both the Green Climate Fund and the Adaptation Fund additionally allow for direct access of national institutions to the funds. For this purpose, national government agencies or other institutions endorsed by the national government need to proof sound fiduciary management and adherence to certain social and environmental safeguards in order to get accredited as implementing entities.

However, few implementing entities have been accredited that are not UN institutions, multilateral development banks or governmental agencies. There are a few examples of decentralised agencies or civil society organisations accredited as implementing entities under the Adaptation Fund and the GCF, but no cities have been accredited so far.<sup>126</sup>

One reason for this may be that national governments have not endorsed cities or regions to become implementing entities, or that local institutions have difficulties to proof fiduciary standards and social and environmental safeguards.<sup>127</sup>

The COP -and later the CMA- have the mandate to provide guidance to the GCF and GEF regarding policies, programme priorities and eligibility criteria. However, they cannot interfere with the operational level, and parties have been very careful not to interfere with the prerogative of e.g. the GCF Board.

At its Board session in November 2015, shortly before the Paris COP, the GCF established a readiness or preparatory support programme to address this latter issue: the programme aims to build capacity in developing countries to access the funds directly. USD 30 million are available for this purpose.<sup>128</sup>

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<sup>125</sup> Lisa Junghans (2016). OPINION: the Green Climate Fund and city leaders: step up your game! Online available at: [http://cdkn.org/2016/05/opinion-green-climate-fund-city-leaders-step-game/?loclang=en\\_gb](http://cdkn.org/2016/05/opinion-green-climate-fund-city-leaders-step-game/?loclang=en_gb)

<sup>126</sup> <http://www.greenclimate.fund/ventures/accreditation>

<sup>127</sup> Lisa Junghans, David Eckstein, Sönke Kreft, Marie Syberg, Lutz Weischer (2016). Going to town: How the Green Climate Fund can support a paradigm shift in cities

<sup>128</sup> <http://www.wri.org/blog/2015/11/insider-5-takeaways-green-climate-fund-board-meeting-zambia>

## 4.5 Entry points for influencing national governments

The Paris outcome provides for important vehicles for planning national climate actions and enhancing them over time.

This includes most importantly

- Preparation of NDCs every 5 years.
- Preparation of long-term low-emission strategies.
- Regular adaptation plans.
- obligation to work towards the overall purpose in article 2.

Influencing national governments in the preparation of these plans could be important for cities and regions for the following three reasons:

- The plans provide overall and medium- and long-term policy guidance, also for investors.
- It is possible that international climate funding, capacity building and technology transfer will be oriented along the priority areas or policies listed in these plans if they correspond to the priorities of the funding institutions.
- The plans should reflect the level of ambition that is achievable in the respective country. The underlying assessment should take into account what is being done and can be done on the ground.

Within the UNFCCC negotiations there is little to no room for influencing these plans, in particular since there are hardly any requirements or guidelines regarding their content or processes to define them. To some degree Non-Party stakeholders could try to influence any guidance the CMA gives to Parties on the formats and contents of these plans. However, it is unlikely that Parties will be able to agree on very specific rules on this so that international guidance will be limited.

This implies that cities and regions need to work through their national channels to influence the content and level of ambition of these plans.



## 4.6 Summary requests and positions

<b>Positions</b>	<b>Requests<sup>129</sup></b>	<b>Status prior- COP21</b>	<b>Status post-COP21</b>	<b>Current Status</b>
GOVERNANCE: enable recognition, engagement and empowerment of local and subnational governments	Recognize importance of NPS	Several COP decisions note role of NPS	Recognition in the preamble of the Paris Agreement	
	Engage NPS in consultation, analysis and implementation (e.g. TEMs, NAZCA, High level dialogues)	Role of NPS in TEMs not explicit	NPS are invited to increase engagement in TEMs and NAZCA; involvement of NPS experts in high level dialogues envisaged	Climate Champions consult with NPS to improve their engagement in these processes
	Reinforce TEMS and High level Engagement	TEMS to run until 2020	TEMS and HLE will continue until 2020 and is strengthened ; access for NPS experts to be improved	
	Adopt new tools, guidelines and programmes based on the TEM outcomes	Technical papers and summary for policy makers as outputs of TEMs	Secretariat to prepare summary for policy makers as basis for the high level dialogues	-

<sup>129</sup> Drawn from LGMA Submission on 1 December 2015 and „3 pillars and 10 actions proposals of local and subnational governments towards Paris 2015“ of October 2015

	Continue LPAA, effectively involving NPS		Continues in form or high level events at each COP until 2020 under the COP itself; will involve NPS experts.	
	Ensure synergies with Post2015 development agenda		Preamble of Paris decision welcomes Post2015 development agenda	unchanged
AMBITION: provide a clear commitment and pathway towards low-carbon and high-resilient societies and economies	Encompass all countries	Binding emission targets only for selected Annex I countries; other countries have only vague obligation to take climate action	All countries required to regularly present NDCs and to pursue measures 190 countries have submitted INDCs	
	goal of carbon/climate neutrality by 2050 at the latest	“below 2°C” limit as part of a COP decision (i.e. not binding); No global emission reduction goal	Temperature limit is „well below 2°C“ + pursuing efforts towards 1.5°C „balance of GHG emissions“ in 2nd half of the century	unchanged
	Goal of 100% renewable energy by 2050 at the latest	No renewable energy goal	No renewable energy goal	unchanged

	Increase pre-2020 ambition through voluntary commitments by local and regional governments		More than 2,500 commitments have been listed by local and regional governments at NAZCA	
FINANCE: enhance financial mechanisms	Financial flows for loss and damage in the most vulnerable areas	No agreement	No agreement; liability is excluded from the scope of loss and damage	unchanged
	Empower NPS through new financing programs		No new financing programmes under the PA or UNFCCC	unchanged
	Ease access of governmental stakeholders of developing countries to the GCF and the AF		Readiness programme established to facilitate direct access to the funds	



## PART V – Next steps in the climate negotiations

At COP21, the Paris Agreement was adopted. For it to enter into force, 55 countries accounting for at least 55% of global carbon emissions must formally join (i.e. ratify). As of 23 August 2016, already 23 countries have ratified, although mainly small island states accounting for a negligible share of global emissions. However, given that China and the US – accounting for about 40% - have announced already earlier this year that they would ratify the Agreement in 2016,<sup>130</sup> the Paris Agreement could well enter into force already in 2016 or 2017.

There are **many outstanding decisions** that need to be taken to ensure that the Paris Agreement can actually be implemented by the Parties. Many obligations in the Agreement are vague, imprecise and lack details. E.g. how should NDCs look like? How should countries report on their emissions? What should be the modalities for and outcomes of the global stocktake? All these details should ideally be worked out before entry into force of the Paris Agreement so that the CMA can adopt respective decisions at its first sessions and that implementation can swiftly begin.

The preparatory work mainly takes place in the framework of the Ad-hoc Working Group on the Paris Agreement (APA), a subsidiary body of the COP, but also under the COP itself, its Subsidiary Body on Implementation (SBI) and the Subsidiary Body on Scientific and Technological Advice (SBSTA). The UNFCCC Secretariat has provided an overview of the mandates given to the respective bodies, and a progress tracker.<sup>131</sup> APA, SBI and SBSTA already met in May 2016 in Bonn, where Parties started negotiations on some of the outstanding Paris Agreement issues. However, lengthy agenda fights meant that negotiations have hardly advanced.

The UNFCCC Parties will meet next at COP 22 in Marrakech, Morocco from 7-18 November 2016. In the official negotiations, countries will need to tackle the outstanding issues but it is unlikely that agreement will be found already in Marrakech. Some of the issues might advance more quickly than others.

Also in Marrakech, a high level event will take place aimed at improving implementation of policy options identified in the TEMs and TEM-As,

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<sup>130</sup> <http://www.climatechangenews.com/2016/03/31/us-china-to-approve-paris-climate-deal-in-2016/>

<sup>131</sup> Accessible at the UNFCCC website at [http://unfccc.int/paris\\_agreement/items/9485.php](http://unfccc.int/paris_agreement/items/9485.php)

strengthening voluntary initiatives and providing a forum for engaging different actors, including non-Party stakeholders.

In the run-up to Marrakesh, also a series of international events related to the climate negotiations will take place.

<b>Date</b>	<b>Event</b>	<b>Significance for cities and regions</b>
19-25 September 2016	Climate Week NYC 2016	Moment to advocate for complementary of local and sub-national commitments to national NDCs
26 September 2016	Summit Climate and Territories: Non-State Actors	As above. In addition occasion to bring together civil society and other stakeholders for common asks and define an ambitious vision.
6-7 October 2016	NDCs and Mitigation Forum: Ministerial Segment	
17-18 October 2016	Pre-COP Marrakesh	Though EU delegation, and through LGMA opportunity to present a positioning with vision towards COP22
14-17 November 2016	COP22 Low-Emissions Solutions Conference	Co-organised by ICLEI to involve cities and regions

### **5.1 Avenues for cities and regions to promote outstanding requests**

Cities and regions have made some major achievements in the international climate negotiations, such as their recognition in the preamble of the Paris Agreement. Also on substantive issues, many of their positions are reflected in the COP21 outcomes.

However, there are also issues on which the negotiations have not fulfilled cities’ and regions’ expectations. For instance, a 100% renewable energy goal

has not found its way into the Paris Agreement and the long-term global emission goal is less ambitious than cities and regions had requested.

Cities and regions need to now carefully assess which are the primary requests they want to advance in the negotiations in the coming years. To this end, they need to consider:

1) What are the issues most important to cities and regions?

In the light of the Paris outcome, priorities and positions of cities and regions might have changed when compared to the pre-Paris positions. For instance, their request that the Paris Agreement should encompass all Parties (almost all Parties have provided INDCs, obligations for all Parties) has been fulfilled. Now, cities and regions might want to ensure that all Parties implement their NDCs and obligations. In addition they request to support the implementation of NDCs through their ambition, but complementary, local action.

2) Which of these issues have a realistic chance to be accepted by Parties in the negotiations?

It is, for example, unlikely that Parties will reopen agreements they have found in Paris, e.g. on the long-term global emission goal. For such issues, cities and regions might need to reformulate their requests. For instance, instead of asking for a re-formulation of the goal, they could push for ambitious implementation guidelines of such a goal.

3) Which avenues can cities and regions use to push for these issues?

Cities and regions have a variety of avenues available to influence international climate policy. They can aim to influence negotiation process, e.g. seeking contact with Party delegates, become part of Party delegations, and communicate their positions through official statements or submissions. They can also use the framework of the Global Climate Action Agenda to push for ambitious climate action through more political means. Finally, they can use COP side events and events outside the UNFCCC negotiations to advance climate action. The best avenue to chose depends on the issue at hand.

The following table provides an overview of the pre-Paris requests, to which extent they have been fulfilled, and which of the outstanding requests cities and regions might be able to advance through different channels.





<b>Positions</b>	<b>Requests<sup>132</sup></b>	<b>Current Status</b>	<b>Request fulfilled?</b>	<b>Future possibilities</b>
GOVERNANCE: enable recognition, engagement and empowerment of local and subnational governments	recognize importance of NPS	Recognition in the preamble of the Paris Agreement	+	--
	engage NPS in consultation, analysis and implementation (e.g. TEMs, NAZCA, High level dialogues)	NPS are invited to increase engagement in TEMs and NAZCA; involvement of NPS experts in high level dialogues envisaged; Climate Champions consult with NPS to improve their engagement in these processes	+	Engage in TEMS and NAZCA Engage in HL dialogues
	Reinforce TEMS and High level Engagement	TEMS and HLE will continue until 2020 and is strengthened ; access for NPS experts to be improved	+	Ensure that robust messages come out of the events (participation in the events, submissions)
	Adopt new tools, guidelines and programmes based on the TEM outcomes	Secretariat to prepare summary for policy makers as basis for the high level dialogues	/	Seek formal recognition in COP decisions of the major messages of the TEMs (influence Parties)

<sup>132</sup> Drawn from LGMA Submission on 1 December 2015 and „3 pillars and 10 actions proposals of local and subnational governments towards Paris 2015“ of October 2015

	Continue LPAA, effectively involving NPS	Continues in form or high level events at each COP until 2020; will involve NPS experts	+	Engage in high level events
	Ensure synergies with Post2015 development agenda	Preamble of Paris decision welcomes Post2015 development agenda unchanged	/	
AMBITION: provide a clear commitment and pathway towards low-carbon and high-resilient societies and economies	encompass all countries	All countries required to regularly present NDCs and to pursue measures 190 countries have submitted INDCs	+	
	goal of carbon/climate neutrality by 2050 at the latest	Temperature limit is „well below 2°C“ + pursuing efforts towards 1.5°C „balance of GHG emissions“ in 2nd half of the century	/	Unrealistic to get Parties to agree on more ambitious goal could push for ambitious national long-term plans, through national level or COP guidelines (influence Parties) could push for strict modalities for the global stocktake (influence Parties)

	Goal of 100% renewable energy by 2050 at the latest	No renewable energy goal unchanged	-	Unrealistic to get Parties to agree on a renewable target could push for 100% renewable targets in national long-term plans (influence governments at national level) Could push for COP guidelines for the preparation of long-term plans to include renewable targets (influence Parties)
	Increase pre-2020 ambition through voluntary commitments by local and regional governments	More than 2,500 commitments have been listed by local and regional governments at NAZCA	+	Push for establishment of NAZCA reporting scheme to ensure implementation of initiatives (influence Parties)
FINANCE: enhance financial mechanisms	financial flows for loss and damage in the most vulnerable areas	No agreement; liability is excluded from the scope of loss and damage unchanged	-	Unrealistic to get Parties to agree on this issue
	empower NPS through new financing programs	No new financing programmes under the PA or UNFCCC	/	Unrealistic to get Parties to agree on new financing programmes in the near term. Several financial institutions have opened the discussion for new financial instruments and funds targeting cities and regions (e.g. GEF and EIB).

	Ease access of governmental stakeholders of developing countries to the GCF and the AF	Readiness programme established to facilitate direct access to the funds	+	
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# Conclusions

The Paris Climate Package foresees a more effective engagement of all levels of government<sup>133</sup> in pursuing the 1.5-degree Celsius goal, and it is vital that local and sub-national leaders capitalize on the existing global momentum.

Local policies continue to be the most ambitious, but robust capacity building and strategic partnerships are needed to enable defined actions to progress quickly and with an eye on innovation. Consistent and transparent performance evaluation, reporting and monitoring are needed to give greater legitimacy to climate commitments. To enable such action, local and sub-national governments need to be effectively supported by **appropriate regulatory framework at national level**, and provided with **the necessary technical and financial capacity** to boost action towards pursuing the 1.5-degree Celsius goal.

To raise global ambition, in line with what cities and regions across the world have been implementing, it is necessary to **strengthen vertical integration** and cooperation. Local and regional action can and should **complement effectively NDCs**, and provide solid, transparent contributions, starting from robust **MRV processes**, through initiatives such as the Global Covenant of Mayors for Climate & Energy<sup>134</sup>, and formerly the Covenant of Mayors, and the Compact of Mayors. **Technical and financial resources** need to be mobilized in support of local action, via national, regional and global climate mechanisms (e.g. GEF, GCF, CTCN, Cities Climate Finance Leadership Alliance, Climate-KIC Local etc). The engagement in **Global Exchange and Knowledge Development** should continue enhancing participation of local and sub-national governments in the UNFCCC process, including Paris Agreement Technical Examination Process, Paris Committee on Capacity Building and NAZCA Platform.

There are still **many outstanding decisions** that need to be taken to ensure that the Paris Agreement can actually be implemented by the Parties. Many obligations in the Agreement are vague, imprecise and lack details. All these details should ideally be worked out before entry into force of the Paris Agreement so that the CMA can adopt respective decisions at its first sessions and that implementation can swiftly begin.

Thus, cities and regions should continue their dialogue with Parties at national and European level, and with the UNFCCC Secretariat to identify a system of

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<sup>133</sup> Preamble para.15 recognizes importance of engagement of all levels of governments, Paris Agreement - Annex I of Dec 1/CP21

<sup>134</sup> Press release "EU Covenant of Mayors and Compact of Mayors launch largest global coalition of cities committed to fighting climate change" Brussels, 22 June 2016

**Locally Determined Contribution** to be implemented in direct connection and complementarity with NDCs.

# Annexes

## Annex I: Options for concrete action for Cities and Regions

This annex provides lists of concrete mitigation measures that mostly fall into the responsibility of cities and regions, and are complemented by other measures<sup>135</sup>. For practical implementation, a more comprehensive strategic plan will have to be drawn up where measures do not stand alone but be part of a larger scheme<sup>136</sup>. This ensures social support, long-term strategy development and public endorsement as well stronger confidence.

Whatever measure is planned, it should be integrated.

(A) It starts out with a definition of different *types of potentials*:

- Theoretical potential (e.g. solar irradiation of entire area)
- Technological potential (e.g. irradiation of suitable area, convertible to energy when using present-day technological efficiency)
- Economic potential (financeable share of the above)
- Realistic potential (implementable share of the above under actual political and planning conditions).

(B) A *factor composition* (Ahamer, 2015)<sup>137</sup> can be helpful for separating the most important *principal categories* of CO<sub>2</sub> reduction measures (compare to the quotients in the formula below, from right to left)<sup>138</sup>:

- Stabilisation of population
- Less growth of economic level in the material sense (measured GDP per capita)
- Stronger decrease of energy intensity (final energy use per GDP)

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<sup>135</sup> This list includes suggestions from Ahamer, G. (2000). Kapitel Luftqualität und Klima. In: *Nachhaltige Gemeindeentwicklung*, H. Hoffmann (ed.), Weka-Verlag, Vienna. Available at [https://www.researchgate.net/publication/262875731\\_Nachhaltige\\_Gemeindeentwicklung\\_-\\_Luftqualitat\\_und\\_Klima\\_Originallayout](https://www.researchgate.net/publication/262875731_Nachhaltige_Gemeindeentwicklung_-_Luftqualitat_und_Klima_Originallayout)

<sup>136</sup> Examples can be found here: <http://www.mayorsinaction.eu/resources/handbook/>

<sup>137</sup> Ahamer, G. (2015a), T<sup>5</sup>: Tackle the Task of a Transition through Technological Targets. *International Journal of Technology and Educational Marketing*, 5(1), 1-14, DOI 10.4018/ijtem.2015010101, available at <http://www.igi-global.com/article/t5/129770> or at [https://www.researchgate.net/publication/277942249\\_T5\\_Tackle\\_the\\_Task\\_of\\_a\\_Transition\\_through\\_Technological\\_Targets](https://www.researchgate.net/publication/277942249_T5_Tackle_the_Task_of_a_Transition_through_Technological_Targets).

Ahamer, G. (2015b), Applying student-generated theories about global change and energy demand. *International Journal of Information and Learning Technology*, 32(5), 258-271, DOI 10.1108/IJILT-01-2015-0002, see [https://www.researchgate.net/publication/283331312\\_Applying\\_student-generated\\_theories\\_about\\_global\\_change\\_and\\_energy\\_demand](https://www.researchgate.net/publication/283331312_Applying_student-generated_theories_about_global_change_and_energy_demand).

Ahamer, G. (1994), Auswege aus dem Treibhaus – Bewertung unterschiedlicher Strategien. *Energiewirtschaftliche Tagesfragen* 'et', ISSN 0720-6240, Heft 4/1994, p. 228-236. Available at [https://www.researchgate.net/publication/234076271\\_Auswege\\_aus\\_dem\\_Treibhaus](https://www.researchgate.net/publication/234076271_Auswege_aus_dem_Treibhaus).

See also in Ahamer (2000), chapter 7.2. This factor decomposition is also known as Kaya identity.

<sup>138</sup> See also on page 106 in [https://www.researchgate.net/publication/262914210\\_Klimamodelle\\_und\\_Klimawandel](https://www.researchgate.net/publication/262914210_Klimamodelle_und_Klimawandel)

- Stronger improvement in technological efficiency (primary energy input per final energy output)
- Lowering carbon intensity of energy provision (CO<sub>2</sub> emissions per primary energy); the most notable strategy here is use of carbon-free or carbon neutral energy sources.

$$\text{CO}_2 \text{ (emissions)} = (\text{CO}_2 / E_{\text{prim}}) \times (E_{\text{primary}} / E_{\text{final}}) \times (E_{\text{final}} / \text{GDP}) \times (\text{GDP} / \text{Pop}) \times \text{Pop}.$$

(C) It may be practically helpful to note what measures promise a high potential for CO<sub>2</sub> reduction (and which measures less so). For the practical case of a central European country (Austria<sup>139</sup>), the (nation-wide) potential for emission reduction was assessed in the following *order of decreasing potential*, starting with the highest realistic potential:

- Adaptation of energy-relevant spatial planning legislation
- Cogeneration, especially usage of heat for district heating networks
- Biomass as a fuel
- Improvement of technological thermal quality of heating systems and warm water
- Solar thermal collectors
- Enhancement of usage of district heating
- Better financing for public transport
- Energy tax
- Enhanced usage of waste heat in electricity production, waste combustion, and cooling installations
- Biogas
- Improving the mileage of motor vehicles
- (Small-scale) hydro-power stations
- Traffic management
- Freight traffic: shifting to less energy-intensive traffic modes
- Other measures.

Similarly, for a typical central European city<sup>140</sup>, the *emission reduction potential* of the following main bundles of measures was quantitatively evaluated to follow this decreasing order, while the first two items showed by far the largest potential:

- Thermal strategies (heating, insulation, efficiency etc.)

<sup>139</sup> Available at [https://www.researchgate.net/publication/262875731\\_Nachhaltige\\_Gemeindeentwicklung\\_-\\_Luftqualitat\\_und\\_Klima\\_Originallayout](https://www.researchgate.net/publication/262875731_Nachhaltige_Gemeindeentwicklung_-_Luftqualitat_und_Klima_Originallayout)

<sup>140</sup> Graz, Austria (300,000 inhabitants), see <http://www.graz.at/cms/beitrag/10178735/4243531>



- Clean heating and low energy demand of newly constructed buildings
- Industrial and commercial energy efficiency increases
- Solar initiative
- New modal split in traffic.

(D) The following long list lists (without ordering according to the reduction potential) *measures suitable for cities and regions* from all main sectors (such as heating, households, municipalities' own premises, traffic, electricity generation, industry and commerce):

- Generation of an energy and emission balance<sup>141</sup> in order to very quantitatively assess concrete reduction potentials
- Establishment of a municipal coordination board for energy management
- Professional technological education of energy-related operators and professionals
- Implementing energy-saving lighting technologies
- Thermal insulation of existing municipality-owned buildings
- Solar-thermal collectors on public buildings
- Solar heating in schools and swimming pools
- A “solar cent” per kWh to be used for renewable energy
- Defined areas with obligation to connect to district heating grids
- Energy-awareness when buying appliances by the municipality
- Reorienting the legal target of public energy supply companies to energy services supply (instead of final energy supply), i.e. creation of energy service providers
- Solar cooling<sup>142</sup>
- Solar heating, including heat storage across the entire year (from summer to winter)<sup>143</sup>
- Setting up a municipal energy agency in charge of implementing municipal energy service concepts
- Highly energy efficient new buildings; zero-energy buildings, plus-energy buildings
- Energy contractors who take the financial risk of investing in better insulation and higher energy efficiency of buildings
- Other soft measures such as raising awareness.

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<sup>141</sup> e.g. according to or similar to this method for “Energy and Emission Balances for Cities – Case Study for Graz, Austria” at [https://www.researchgate.net/publication/262934916\\_Energie-\\_und\\_Emissionsbilanzierung\\_fur\\_Osterreichs\\_Stadte\\_-\\_Fallstudie\\_fur\\_Graz](https://www.researchgate.net/publication/262934916_Energie-_und_Emissionsbilanzierung_fur_Osterreichs_Stadte_-_Fallstudie_fur_Graz); in short in English language at

[https://www.researchgate.net/publication/262934892\\_Energy\\_and\\_Emission\\_Balances\\_for\\_Austria%27s\\_Cities](https://www.researchgate.net/publication/262934892_Energy_and_Emission_Balances_for_Austria%27s_Cities)

<sup>142</sup> See for example AEE INTEC, <http://www.aee-intec.at/index.php?lang=en>

<sup>143</sup> See for example SOLID at <http://www.solid.at/en/>

(E) The *C40 Cities Climate Leadership Group* (C40<sup>144</sup>) launches guides for cities to tackle climate change<sup>145</sup> and focuses on the following themes in a series of individual, practical-minded and highly usable reports:

- Municipal Building Efficiency Network:
- Climate Positive Development
- Waste to Resources
- Transit Oriented Development<sup>146</sup>
- Creditworthiness
- Low Emission Vehicles
- Cool Cities
- District Energy<sup>147</sup>
- Sustainable Solid Waste Systems.

(F) Cities and Regions may identify among others the following options for support outside UNFCCC:

- IPCC (see suggestion above in chapter III.2.3 for an IPCC Special Report on cities)
- For further options see also in e.g. [http://www.pbl.nl/sites/default/files/cms/pbl-2015-climate-action-outside-the-unfccc\\_01188.pdf](http://www.pbl.nl/sites/default/files/cms/pbl-2015-climate-action-outside-the-unfccc_01188.pdf)

(G) Other strategic deliberations:

It is added here that large-scale reliability and safety of provision with renewable energy (such as large-scale solar energy) can often be more a question of political stability in a region and trust in long-term reliability (often in countries of the global South) – not exclusively a technological question. M.J. Kelly stresses this deliberation in a study at Cambridge University<sup>148</sup> while using the Desertec project as a case study.

In the recent Statoil report<sup>149</sup>, only the “Renewal” scenario (page 10) is able to meet sustainability needs. Incremental changes are not sufficient, only a “transformation” (structural system change) of the global energy system. This is the reason for taking more engaged actors on board (such as cities and regions), because the parties (i.e. states) need unanimity and are consequently very slow.

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<sup>144</sup> C40 is a network of the world’s megacities committed to addressing climate change: <http://www.c40.org/>

<sup>145</sup> [http://www.c40.org/blog\\_posts/roadmaps-for-successful-climate-action-c40-cities-share-100-case-studies-proven-to-work](http://www.c40.org/blog_posts/roadmaps-for-successful-climate-action-c40-cities-share-100-case-studies-proven-to-work)

<sup>146</sup> See also <https://www.itdp.org>

<sup>147</sup> See also <http://www.districtenergyinitiative.org/>

<sup>148</sup> Kelly, M.J. (2016), Lessons from technology development for energy and sustainability. *MRS Energy & Sustainability: A Review Journal*, Volume 3, available at [www.mrs.org/energy-sustainability-journal](http://www.mrs.org/energy-sustainability-journal), doi:10.1557/mre.2016.3.

<sup>149</sup> Statoil (2016), Energy Perspectives 2016. Long-term macro and market outlook. Stavanger, Norway, [www.statoil.com](http://www.statoil.com).

Additional inspiration for climate strategies can also be taken from the Habitat III process<sup>150</sup>.

A larger number of concrete projects is presented on the “Global Resilience Partnership”<sup>151</sup> website.

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<sup>150</sup> See for example in the Habitat Bulletin, published by the International Institute for Sustainable Development (IISD) in collaboration with the Habitat III Secretariat: A Summary Report of the Habitat III Informal Hearings with Stakeholders, Volume 231, Number 3, Friday, 10 June 2016, Online at: <http://www.iisd.ca/habitat/3/stakeholders/>

<sup>151</sup> <http://www.globalresiliencepartnership.org>

## Annex II: On the Lima-Paris Action Agenda (LPAA)

The importance of the Lima-Paris Action Agenda (LPAA) is that it “complements the Non-State Actor Zone for Climate Action (NAZCA) launched at COP 20 in Lima Peru (...), which registers individual and cooperative commitments to action by companies, cities, subnational regions, and investors to address climate change.”<sup>152</sup>

Information on LPAA can be found at:

- <http://newsroom.unfccc.int/lpaa/>,
- <http://newsroom.unfccc.int/lpaa/lpaa/welcome-to-the-lpaa-website-learn-more-about-the-transformational-initiative/>,
- <http://www.cop21.gouv.fr/en/lima-paris-action-agenda-lpaa/>
- <http://newsroom.unfccc.int/lpaa/cities-subnationals/>
- <http://newsroom.unfccc.int/lpaa/cities-subnationals/lpaa-focus-cities-regions-across-the-world-unite-to-launch-major-five-year-vision-to-take-action-on-climate-change/>
- <http://newsroom.unfccc.int/media/509508/lpaa-primer.pdf>:

Following the summit of local leaders on 4 December 2015 under the *Paris Declaration*, the **Lima-Paris Action Agenda (LPAA)** Focus on Cities highlighted the *unprecedented level of sub-national government climate action* and the wide mobilization of all actors who are joining forces to achieve large-scale transformation across wide territories.

*Cities and regions* are at the heart of their countries’ economic development and generate a large share of the global GDP. The Intergovernmental Panel on Climate Change (IPCC) says urban areas are responsible for *up to 49%* of global greenhouse gas emissions. Cities and regions are also in the front line of global efforts to protect citizens from the impacts of climate change.

The *involvement of local authorities* in the climate action agenda is increasing fast and reaching all continents: more than 7000 sub-national governments have made commitments, 2,255 cities and 150 regions are already registered on the NAZCA climate commitments platform, representing 17% of the world population (1.25 billion inhabitants). Various transformative initiatives support this dynamic:

- The Covenant of Mayors gathering 6300 municipalities’ signatories and representing 208 million people.

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<sup>152</sup> <http://www.cop21.gouv.fr/en/lima-paris-action-agenda-lpaa/>

- The *Compact of Mayors*,
- The *Compact of States and Regions*,
- The *Under2MOU initiative*.
- The *Cities Climate Finance Leadership Alliance (CCFLA)*.

The **main goals** of the Lima-Paris Action Agenda are:

- to showcase, in each of the big impact areas, the key actions for staying under the 1.5/2°C ceiling and to highlight key issues on resilience
- to demonstrate, through individual and cooperative commitments from non-state actors, that a significant number of major actors are already committed to this pathway
- to encourage others to follow the same essential path because it is in their best interests.

Marc Roelfsema (2016)<sup>153</sup> describes the involvement of EU member states in LPAA city initiatives as follows:

- More than 7000 sub-national governments have made commitments
- 2253 are registered with LPAA on the NAZCA platform
- City initiatives in LPAA comprise (as cooperative actions) the Covenant of Mayors, the Compact of Mayors, Under2MOU, Mobilise Your City, and more, and portrays their distribution across EU member states in Figure13 and Figure 14 (compare also this report's section on NAZCA).

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<sup>153</sup> Marc Roelfsema on 20 April 2016, PBL Netherlands Environmental Assessment Agency, presentation WPIEI 20 April 2016 - International Cooperative Initiatives....pptx, slides 11-19, this seems similar to: [http://www.pbl.nl/sites/default/files/cms/pbl-2015-climate-action-outside-the-unfccc\\_01188.pdf](http://www.pbl.nl/sites/default/files/cms/pbl-2015-climate-action-outside-the-unfccc_01188.pdf).

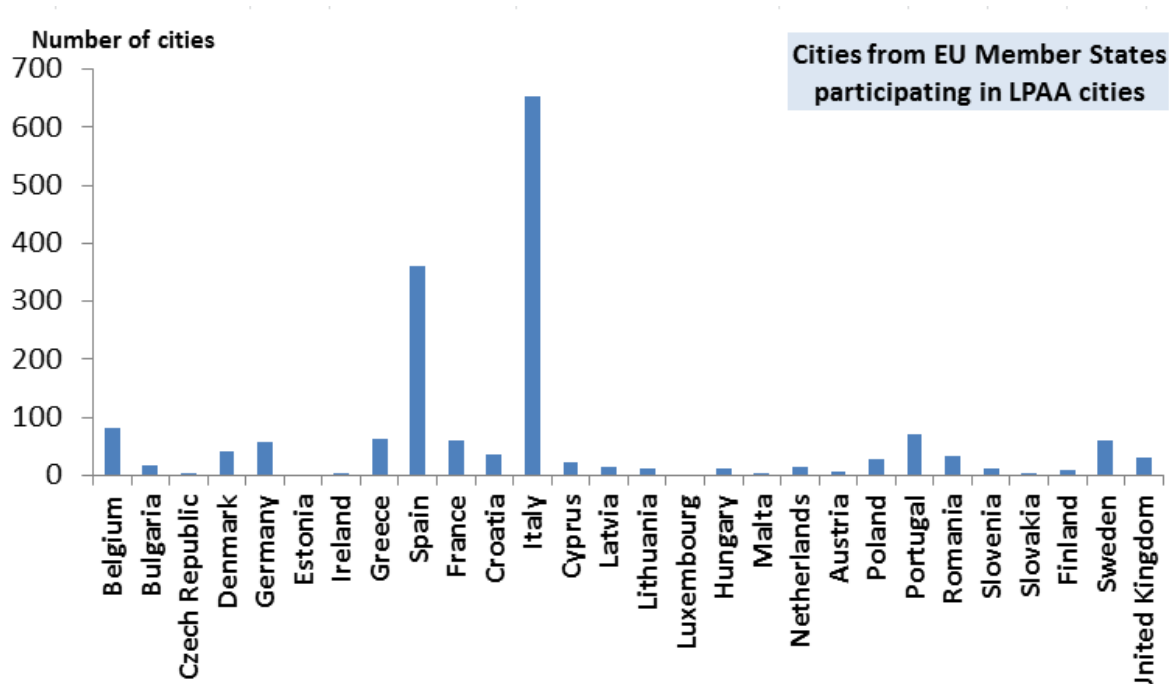


Figure 13: Cities from EU Member States participating in LPAA in absolute numbers (Roelfsema, 20 April 2016).

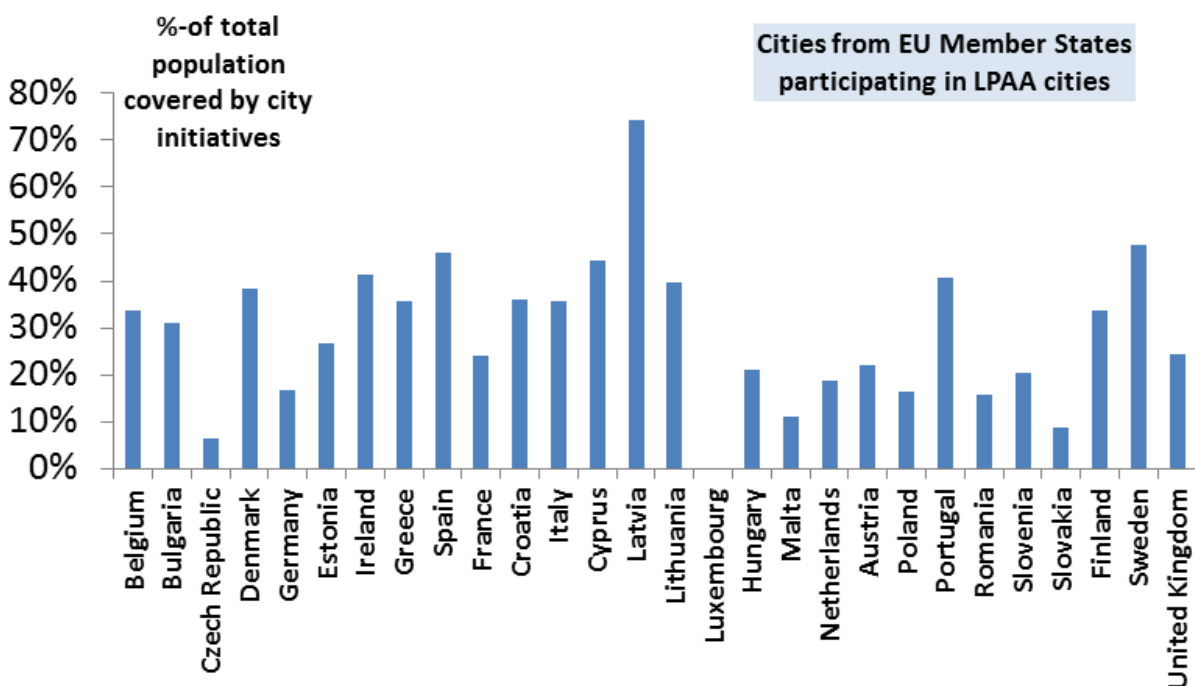


Figure 14: Cities from EU Member States participating in LPAA in percentage of total population covered by city initiatives (Roelfsema, 20 April 2016).

The Paris Agreement (PA) attributes a crucial role to non-state actors (such as cities and regions) and the new Covenant of Mayors plays a major role in stepping up pre-2020 ambitions at a local level (Figure 15)<sup>154</sup>.

<sup>154</sup> Mijatovic (2014), contribution to the Vienna Workshop organized by the World Bank, xxx

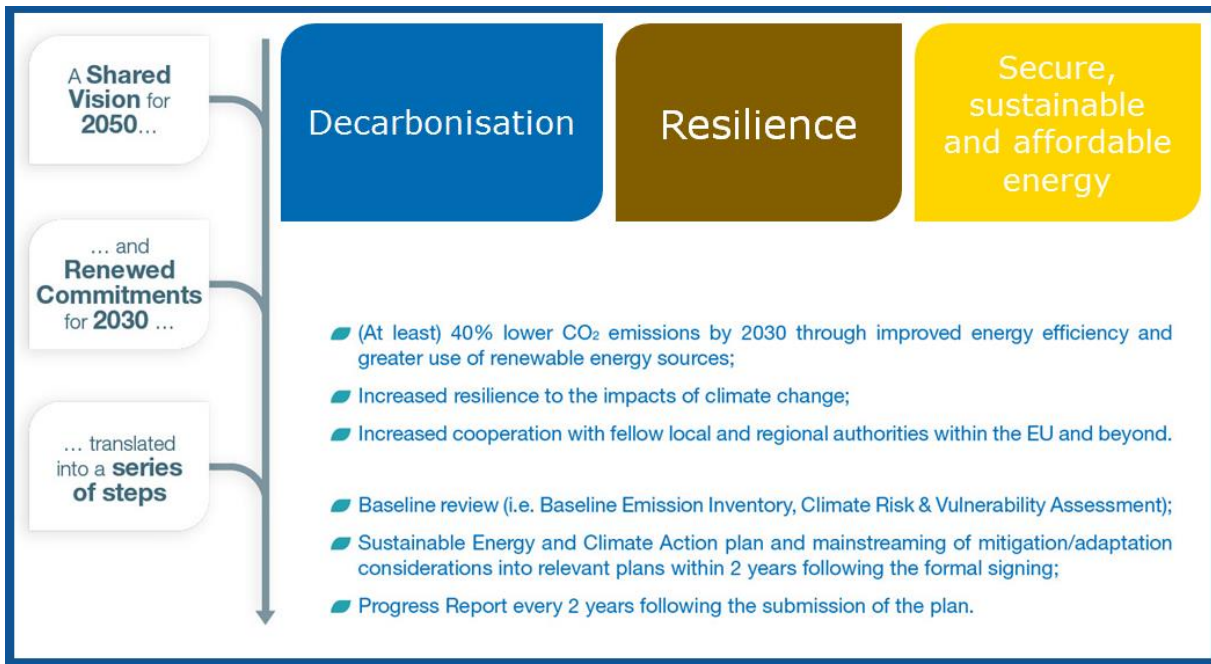


Figure 15: The new Covenant of Mayors (Mijatovic, 2016).

## Annex III: Specific action within bodies within the UNFCCC process

In principle, all suggestions can be organized along the structure of the UNFCCC process itself<sup>155</sup>, as presented in Figure 16.

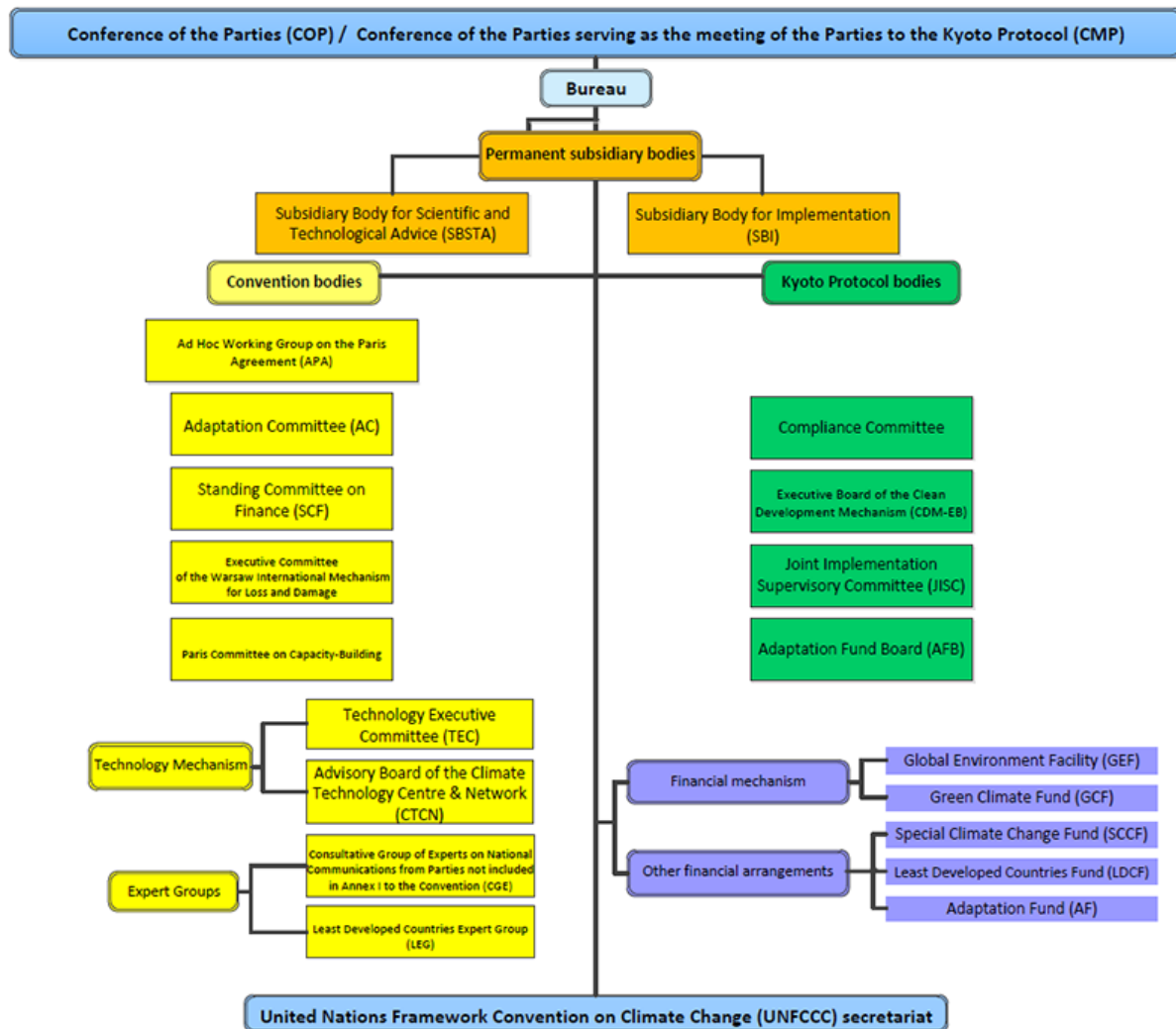


Figure 16: Structure of the UNFCCC process and its bodies. Source: UNFCCC (2016a)<sup>156</sup>

The entire structure of the UNFCCC process is (principally) providing an option to act for cities and regions, while several caveats<sup>157</sup> apply.

<sup>155</sup> <http://unfccc.int/bodies/items/6241.php>

<sup>156</sup> <http://unfccc.int/bodies/items/6241.php>

<sup>157</sup> Participation for cities and regions is always possible but exclusively as observers, and meetings with the Secretariat can go only through the Parties and through the Constituencies. The same goes for addressees such as COPs. Cities' interests can be brought in as part of national delegations, but then again it is up to the delegation whether they wish to give visibility to cities. In this light, "Friends of Cities" is important.

The LGMA Constituency (Local Governments and Municipal Authorities) often uses Cities and Regions to address the parties during interventions in plenaries and in meetings with the secretariat; so CoR members can deliver interventions as part of LGMA, but CoR as such cannot (as part of the EU delegation).

Further information is available at: [http://unfccc.int/files/parties\\_and\\_observers/ngo/application/pdf/constituencies\\_and\\_you.pdf](http://unfccc.int/files/parties_and_observers/ngo/application/pdf/constituencies_and_you.pdf) and at <http://www.iclei.org/climate-roadmap/advocacy/unfccc/lgma-at-unfccc.html>.



UNFCCC Bodies are (<http://unfccc.int/bodies/items/6241.php>):

- Conference of the Parties (COP)<sup>158</sup>
- Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP)<sup>159</sup>
- Subsidiary Body for Scientific and Technological Advice (SBSTA)<sup>160</sup>
- Subsidiary Body for Implementation (SBI)
- Bureau of the COP and the CMP<sup>161</sup>
- Compliance Committee<sup>162</sup>
- CDM EB - Executive Board of the Clean Development Mechanism (CDM)<sup>163</sup>
- Joint Implementation Supervisory Committee (JISC)<sup>164</sup>
- Technology Executive Committee (TEC)<sup>165</sup>
- Advisory Board of the Climate Technology Centre and Network (CTCN)<sup>166</sup>
- Adaptation Committee<sup>167</sup>
- Executive Committee of the Warsaw International Mechanism for Loss and Damage<sup>168</sup>
- Standing Committee on Finance (SCF)<sup>169</sup>
- Adaptation Fund Board (AFB)<sup>170</sup>
- Least Developed Countries Expert Group (LEG)<sup>171</sup>
- Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention (CGE)<sup>172</sup>
- Secretariat<sup>173</sup>
- United Nations institutional linkage<sup>174</sup>
- Global Environment Facility (GEF)<sup>175</sup>
- Green Climate Fund (GCF)<sup>176</sup>
- Intergovernmental Panel on Climate Change (IPCC)<sup>177</sup>
- Special Climate Change Fund<sup>178</sup>
- Least Developed Countries Fund<sup>179</sup>

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<sup>158</sup> <http://unfccc.int/bodies/body/6383.php>

<sup>159</sup> <http://unfccc.int/bodies/body/6397.php>

<sup>160</sup> <http://unfccc.int/bodies/body/6399.php>

<sup>161</sup> <http://unfccc.int/bodies/body/6430.php>

<sup>162</sup> <http://unfccc.int/bodies/body/6432.php>

<sup>163</sup> <http://unfccc.int/bodies/body/6434.php>

<sup>164</sup> <http://unfccc.int/bodies/body/6435.php>

<sup>165</sup> <http://unfccc.int/bodies/body/6437.php>

<sup>166</sup> <http://unfccc.int/bodies/body/8160.php>

<sup>167</sup> [http://unfccc.int/bodies/adaptation\\_committee/body/6968.php](http://unfccc.int/bodies/adaptation_committee/body/6968.php)

<sup>168</sup> <http://unfccc.int/bodies/body/8161.php>

<sup>169</sup> [http://unfccc.int/bodies/standing\\_committee/body/6973.php](http://unfccc.int/bodies/standing_committee/body/6973.php)

<sup>170</sup> <http://unfccc.int/bodies/body/6436.php>

<sup>171</sup> <http://unfccc.int/bodies/body/6439.php>

<sup>172</sup> <http://unfccc.int/bodies/body/6440.php>

<sup>173</sup> <http://unfccc.int/bodies/body/6441.php>

<sup>174</sup> <http://unfccc.int/bodies/body/6442.php>

<sup>175</sup> <http://unfccc.int/bodies/body/6443.php>

<sup>176</sup> [http://unfccc.int/bodies/green\\_climate\\_fund\\_board/body/6974.php](http://unfccc.int/bodies/green_climate_fund_board/body/6974.php)

<sup>177</sup> <http://unfccc.int/bodies/body/6444.php>

<sup>178</sup> <http://unfccc.int/bodies/body/8907.php>

- Ad Hoc Working Group on the Paris Agreement (APA)<sup>180</sup>

Also, CoR may take an additional role as Observer to suitable bodies within the UNFCCC and related budgets. Figure 17 shows an overview of structures and bodies within the United Nations system that may inform Cities and Regions<sup>181</sup>.

Elements of the budget processes of selected United Nations and related organizations

Organization	Documents	Budget (regular or equivalent)		Bodies involved in process	Number of review body members	Cost of review body	Comments
		Approximate number of pages	Budget in millions				
United Nations	Programme budget and supplementary budget information	2 000	USD 5 401.8 for 2016–2017	CPC, ACABQ, Fifth Committee and General Assembly	ACABQ: 16	Each entity can send up to eight staff for ACABQ and Fifth Committee meetings	
UNEP	Programme budget and supplementary budget information	136	USD 35.3 for 2016–2017	CPC, ACABQ, Fifth Committee and General Assembly	ACABQ: 16	Travel and DSA for up to eight staff for ACABQ and Fifth Committee meetings (1–2 days)	Part of United Nations regular budget
UNFCCC	Programme of work and budget	114	EUR 54.6 for 2016–2017	SBI and COP	SBI: approx. 30	No additional cost as part of the SBI	
UNCCD	Programme of work and budget	26	EUR 16.2 for 2016–2017	COW and COP	COP: approx. 30	No additional cost as part of the COP	Presented directly to the COP in December
OPCW	Programme and budget income and expenditure report	114	EUR 67.5 for 2016	ABAF, Executive Council and COSP	ABAF: 16	DSA and travel for 16 members (4–5 days)	Yearly process
ISA	Programme budget	9	USD 15.7 for 2015–2016	FC, ISA Council and Assembly	FC: 15	Extra days of DSA (3–4 days) for 15 members for pre-sessionals	
ICC	Programme budget	221	EUR 139.6 for 2016	CBF, ASP subcommittee and ASP	CBF: 12	DSA and travel for 12 members (5 days)	Yearly process

*Abbreviations:* ABAF = Advisory Body on Administrative and Financial Matters, ACABQ = Advisory Committee on Administrative and Budgetary Questions, ASP = Assembly of States Parties, CBF = Committee on Budget and Finance, COP = Conference of the Parties, COSP = Conference of the States Parties, COW = Committee of the Whole, CPC = Committee for Programme and Coordination, DSA = daily subsistence allowance, FC = Finance Committee, ICC = International Criminal Court, ISA = International Seabed Authority, OPCW = Organisation for the Prohibition of Chemical Weapons, SBI = Subsidiary Body for Implementation, UNCCD = United Nations Convention to Combat Desertification, UNEP = United Nations Environment Programme.

Figure 17: Elements of the budget processes of selected UN and related organisations. Source: UNFCCC (2016b)<sup>182</sup>

<sup>179</sup> <http://unfccc.int/bodies/apa/body/9399.php>

<sup>180</sup> <http://unfccc.int/bodies/apa/body/9399.php>

<sup>181</sup> <http://unfccc.int/resource/docs/2016/sbi/eng/inf05.pdf>

<sup>182</sup> An overview of structures and bodies within the United Nations system that may inform Parties in making the budget process more efficient and transparent. Note by the Executive Secretary FCCC/SBI/2016/INF.5, 7 April 2016, Annex I on page 13, available at <http://unfccc.int/resource/docs/2016/sbi/eng/inf05.pdf>

## Annex IV: Ongoing deliberations within the CoR

A CoR working document (issued by the Commission for the Environment, Climate Change and Energy) entitled “Delivering the global climate agreement – a territorial approach to COP22 in Marrakesh”<sup>183</sup> appears to clearly portray the present state of deliberation inside CoR, hence it is included here as footnotes. It first emphasises the importance of a “multi-level governance approach” (page 3ff therein), “which is formally recognised in the agreement, should allow to develop connections and to close existing gaps between the national, regional and local climate change policies through horizontal and vertical cooperation.”<sup>184</sup> The next key item is “an inclusive governance”<sup>185</sup>, the “Paris agreement ambition and enhanced action at local and regional level”<sup>186</sup>,

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<sup>183</sup> Francesco Pigliaru (2016), Delivering the global climate agreement – a territorial approach to COP22 in Marrakesh. EU Committee of the Regions, Working Document, Commission for the Environment, Climate Change and Energy, COR-2016-01412-00-00-DT-TRA (EN), available at <http://cor.europa.eu/en/activities/opinions/pages/opinion-factsheet.aspx?OpinionNumber=CDR%201412/2016>.

<sup>184</sup> How can regions and cities be adequately integrated in practice within the global climate governance? What role could, for instance, a further formalisation of the Lima-Paris Action Agenda (LPAA) process within the UNFCCC secretariat, or the institutionalisation of the Non-State Actors Zone for Climate Action (NAZCA) portal, play? Do you believe that regular non-state actors pre-COP summits have a role to play, as happened in Lyon last year and Nantes in 2016?

How can regions and cities also be better integrated within the EU policy-making process on climate issues? Which tools / processes would be necessary at national level to ensure a close involvement of sub-national levels of governance?

How could a more structured EU inter-institutional dialogue during climate policy formulation look like? One element could be the Green Diplomacy Network work plan 2016, which aims at keeping the positive momentum of the COP and reach out to all states to promote full implementation of their commitments. The CoR has been involved in drafting the corresponding work plan for 2016. The CoR contribution to support the work of Embassies and representations as well as the EEAS and DG CLIMA includes all CoR international structures (ARLEM, CORLEAP, JCCs, the Portal of decentralised cooperation) and its ongoing work to promote the Covenant of Mayors within and beyond EU borders. By contrast, the 2030 framework on energy and climate – the EU contribution to the Paris agreement – adopted prior to the COP21, contains minimal references to regions and cities, the CoR was not involved in the corresponding policy formulation process, and the Communication of 2<sup>nd</sup> March 2016 on Implementing the Paris agreement only refers to 'cities' in the context of the Covenant of Mayors, which is highly disappointing.

In your experience, is there already a noticeable difference since the adoption of the Paris agreement regarding the consultation of regions and cities by higher levels of government in your member states?

How is the Covenant of Mayors facilitating the build-up of an inclusive EU climate governance? Do you think that it could be replicated at global level or in other parts of the world?

Is there a difference between regions and cities in the ongoing integration within a broader multi-level governance structure at global level or at EU level?

<sup>185</sup> It is well-recognised that in order to address the challenge of climate change, in addition to the vertical coordination between different levels of territorial government, including states, regions and local authorities, it is necessary to deepen the horizontal coordination between different policies (for instance, territorial, landscape, environmental, agricultural, and civil protection). Given the required scale of action, all levels of government, as well as all tiers of society, need to assume ownership of climate-related measures, including the education and research fields. How do you intend to promote vertical and horizontal governance within your territory and to increase relations with the higher levels of government? Which are the key aims of this coordination and which means have to be used? What obstacles do you encounter and who are the key players that can play a major role?

(Research institutes and local universities? Civil society organisations? Citizens? Schools? Young people in particular? Financial institutions? Business? Local SMEs?)

How does a horizontally and vertically integrated governance help you to implement measures on the ground and create economic opportunities and green jobs for your territory?

The role of the research sector is crucial in the process of formulating territorial policies related to climate change in order to provide scientific support to policy decision makers. In this regard, how can the collaboration between local governments, universities and research institutes be promoted to implement climate-related actions? What role do you assign to innovation and technology to address climate change?

<sup>186</sup> With the long-term goal of limiting global warming to well below 2°C and an aspirational goal of 1.5°C, the aggregated contributions of Parties to the agreement, composed of the intended nationally determined contributions (INDCs), show that the commitments tabled so far to lower greenhouse gas emissions will not be sufficient to reach these goals.

What is the particular role of enhanced action at local and regional level in bridging this gap? Already, regions and cities are acting in several areas regarding climate change and they often try to go beyond the targets set at national levels.

What is the state of play of regions' and cities' engagement in climate policy following the Paris agreement and what are the most important policy areas in which they have the competencies and means to act?

The relevance of adaptation to climate change is clearly recognised by Parties and adaptation is a key objective in the agreement. In this regard, how much room to manoeuvre do regions and cities have for further action on mitigation and adaptation, and combined measures or synergies between the two strategies?

“Resilient society”<sup>187</sup> and “Financing the action of EU cities and regions on climate change”<sup>188</sup>.

An earlier CoR document “Towards a global climate agreement in Paris”<sup>189</sup> emphasised the specific role of cities and regions several times<sup>190</sup>.

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How do you see the role of voluntary initiatives such as the Under 2 Memorandum of Understanding, the Covenant of Mayors and other local and regional initiatives for sharing knowledge, technologies and practices. Which measures are necessary (in particular from the regional level) to ensure the participation of local authorities of different sizes, in such initiatives (for example, access to the Covenant of Mayors for smaller localities?)

How can the involvement of local actors help galvanise national ambition and preserve the positive spirit of Paris COP21?

What do you see as the main elements which the agreement leaves outstanding?

What do you see as the role regions and cities have beyond EU borders in the EU climate diplomacy? What tools are at their disposal (twinning partnerships, decentralised cooperation partnerships, existing local and regional networks and CoR structures such as the Portal of Decentralisation, ARLEM, CORLEAP, JCCs and CoR support group for the Covenant of Mayors)?

<sup>187</sup> While the objectives of the agreement are clear and include provisions on adaptation to climate change and resilience as a whole, are you of the opinion that the conditions for balanced climate policies are already in place at local and regional levels?

Do your local or regional authorities' current or future climate plans include provisions on risk prevention and disaster preparedness as well as an early warning system? For which climate-related disaster or extreme event? Are Disaster Risk Reduction (DRR) and adaptation considered and integrated into regional and local development plans? Is the key role played by forests well-recognised in your climate change strategy? What differences exist between different parts of the EU and between regions and cities in terms of needs and vulnerability related to climate change?

What is the particular role of regions and cities in terms of fostering energy transition toward a clean energy (based on energy efficiency and renewable energy), a low carbon economy and resilient societies?

<sup>188</sup> In order to fully exploit the potential of local and regional authorities to contribute to the EU's climate change policy, appropriate financial support and capacity-building means must be available at the different levels. This again requires coordination between existing instruments and programmes, included risk insurance possibilities, and the development of innovative solutions to fill the gaps and mobilise funding from different sources in a limited public spending context.

Key questions for the CoR members are therefore:

Are you aware of the financing support and capacity-building schemes which are at your disposal? Is your national level acting as a supporting partner in promoting possible EU funding and financing opportunities?

Are EU funding and EIB financing schemes sufficiently accessible to smaller local authorities and are they adapted to their specific challenges and need for innovative financing mechanisms? What role can regions play? Are local authorities aware of the existing bundling possibilities in order to access EU-level funding?

Given the enormous size of the investments needed private investment needs to be mobilised as well. To do so, regions and cities need to set up viable projects. Are many regions and cities familiar with this shift from direct funding to organizing viable financing schemes? If not, how can capacity-building be enhanced? Which obstacles are being encountered in the implementation of these viable economic plans? What roles do banks (including local/regional promotional banks) play and are financing refusals by banks a significant problem? Are the regulatory frameworks at different levels sufficiently clear (for example in the area of renewables)? How are banks, financial institutions, public institutions, cities and regions cooperating in these processes?

Should the CoR express its point of view on the definition of a carbon price in EU?

Are there other relevant messages that could be delivered to COP22?

<sup>189</sup> Annabelle Jaeger (2015), Towards a global climate agreement in Paris. Opinion, EU Committee of the Regions, Working Document, Commission for the Environment, Climate Change and Energy, COR-2015-01535-00-02-AC-TRA (EN) available at xxx.

<sup>190</sup> Starting on page 3 (emphases in italics by G.A.):

- The CoR is delighted to note that the new climate regime seems set to put more emphasis on the effective implementation of commitments taken under the Paris Protocol. The role of cities and regions has been highlighted by the Commission and many other stakeholders at the UN talks on climate change. These parties advocate that the new agreement should *recognise action taken by cities and regions, without which the Member States would not be able to meet their commitments*. The credibility of the pledges made by the parties will depend on the firm and real commitment of cities and regions, as well as industry or investors.
- A stronger focus on the *Covenant of Mayors*, and an extension until 2030 and 2050 is necessary in order to give new impetus to the *6 500 European cities and regions that have signed it* and that are committed to going further than European targets for lowering greenhouse gas emissions by 2020. The *CoR supports the expansion of the Covenant of Mayors at global level* and calls on the EC to provide the necessary means for such action, as it respects local realities. This expansion should be done in coordination with and in compliance with other international and national initiatives carried out by networks of local authorities, such as the *Compact of Mayors*. At the same time, cities that have decided to tackle climate change without signing up to the Covenant should not be marginalised.
- The CoR calls on the Commission to *support the inclusion of quantifiable, measurable efforts made by cities and regions in the national contributions* in the new agreement (on lowering greenhouse gases, energy savings and renewable energies). In particular, the EC can build on the work of the *Compact of States and Regions, the Covenant of Mayors and the Compact of Mayors*, which all contain clear, specific and transparent commitments on the part of cities and regions in Europe and throughout the world. The CoR deems it necessary to *create the appropriate conditions – in terms of regulation and financial mechanisms – to enable cities and regions to pursue the best courses of action*.

## Annex V: Initiatives in the ongoing UNFCCC procedures

### I. The Importance of MRV

*“You cannot manage what you cannot measure.”*

MRV procedures are more than just an essential cornerstone of any multilateral MRV regime. As highlighted by the International Mitigation and MRV Partnership, domestic MRV can be broken into the following parts: collection of evidence, engagement with stakeholders, evaluation of efforts and progress made and enforcement at the national level (MRV, 2012)<sup>191</sup>.

Three key principles should be considered in determining how to deploy funds strategically (Figure 18):

1. Use GCF funds to attract greater funding from host-country budgetary allocations, development banks and the private sector
2. Support sector-wide or economy-wide actions, not individual projects, with an emphasis on shifting to a lower carbon development path
3. Enhance resilience to climate change. For CoR an integrated approach is key – no mitigation action without looking at enhancement of resilience and climate proofing and no adaptation action that is not carbon-neutral. This should be the objective!
4. Target funds to overcome financial and non-financial barriers to private investment, in coordination with policies and measures that create demand for these investments.

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<sup>191</sup> International Mitigation and MRV partnership, page 6: <http://mitigationpartnership.net/autumn-school-%E2%80%98mrv-%E2%80%93-today-tomorrow-and-future%E2%80%99-berlin-15%E2%80%93october-2012>

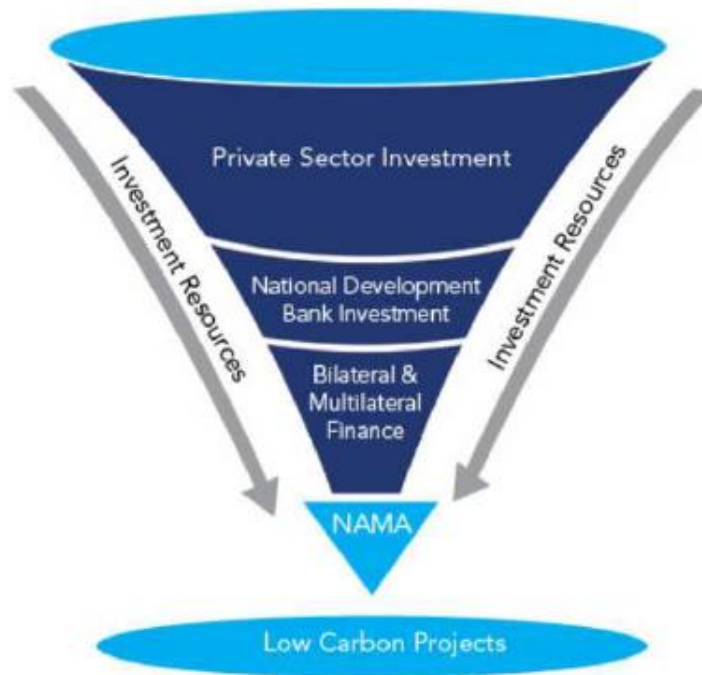


Figure 18: NAMAs funnel resources into climate policies that catalyse project implementation (MRV, 2012).

MRV (2012, p. 8f): Operationalising the NAMA vision in the GCF:

To operationalise this vision, a significant portion of the GCF could invest in NAMAs that combine government policy changes (incentives or mandates) that create demand for low-carbon technology and infrastructure investments with financial mechanisms that overcome barriers to such investments. Examples of such financial mechanisms are described in the attached paper, Overview of NAMA Financial Mechanisms, and in our view, these and similar financial mechanisms should be eligible for international financial support through the GCF. (...) We recommend consideration of the following selection criteria for proposed actions under both the Private Sector Facility and mitigation window. These criteria are similar to those used by the NAMA Facility established by the governments of Germany and the United Kingdom.

- 1) The degree to which the NAMA is expected to fundamentally transform the target sector to a lower carbon development path;
- 2) Sustainable development benefits to the host country;
- 3) Whether the NAMA is expected to attract additional investment from development banks or the private sector, and whether the NAMA includes unilateral contributions; and
- 4) Overall GHG mitigation potential.

An important and very active player is the “Climate Action Network” (CAN) which regularly contributes to the UNFCCC process, for example regarding the Intended Nationally Determined Contributions (INDCs)<sup>192</sup>.

**Idea:** cities should take part in these national participatory processes!

On 14<sup>th</sup> March 2016, the Dutch EU Presidency submitted the following note<sup>193</sup>:

- **Capacity building** is a key element to strengthening climate action and accelerating the transformation towards low-carbon and resilient economies. 2016 represents an opportunity to raise the profile and understanding of the role of capacity building in supporting the important achievements and outcomes of COP21.
- In Paris, Parties agreed to establish the **Paris Committee on Capacity Building (PCCB)** to further enhance all capacity building efforts, including coherence and coordination in capacity-building activities under the Convention, and to establish the **Capacity Building Initiative for Transparency (CBIT)** to build the institutional and technical capacity to support developing country Parties in need so that the enhanced transparency requirements of the Paris Agreement can be met.
- These are important decisions and their timely **operationalisation** over the coming years will be one of the principal concrete expressions of the operationalisation of the Paris outcome.
- The **terms of reference of the PCCB** is defined by decision 1/CP.21 that sets out the work plan and specific activity areas, meeting frequencies and working modalities. The main outstanding issues concern the composition, areas of expertise and internal organisation of the work of the committee.
  - The membership of the PCCB should reflect its role in enhancing capacity building as an essential cross-cutting element of the Convention, including through improved coherence and coordination. Therefore it should have a strong technical focus and links to existing bodies under the Convention, for example by drawing its members from these bodies. ·
  - The Third review of the Capacity Building Framework and its conclusions and recommendations will be an important activity that provides an input for the decision of the future institutional arrangements for capacity-building under the Paris Agreement. The review will also provide for the PCCB to identify key priority activities within the overall work plan areas and to elaborate its detailed work plan. The review and its recommendation need to take into account the capacity building needs and work plans of relevant bodies under the Convention. ·

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<sup>192</sup> <http://unfccc.int/resource/docs/2014/smsn/ngo/475.pdf>

<sup>193</sup> [http://www4.unfccc.int/submissions/Lists/OSPSubmissionUpload/75\\_73\\_131024391540124760-NL-03-14-EU%20submission%20on%20Capacity%20Building.pdf](http://www4.unfccc.int/submissions/Lists/OSPSubmissionUpload/75_73_131024391540124760-NL-03-14-EU%20submission%20on%20Capacity%20Building.pdf)

- Getting the CBIT and the PCCB working is a key priority for the coming years. Capacity Building would be instrumental in order for Parties to meet their enhanced transparency requirements under the Paris Agreement. We therefore welcome the CBIT, and will be looking for ways to cooperate and support its activities. The annexed list of on-going activities in this area supported by the EU and its member states is an input to this process. ·
- It is proposed to focus the next Durban Forum on capacity-building for INDC implementation building on the strong momentum created by the submission of INDCs by virtually all Parties.

The submission by the Greek EU Presidency in 2014<sup>194</sup> presents in its Annex a long list of interesting initiatives, including many that suggest means for financing cities and regions:

- Support of the International Mitigation and MRV Partnership [www.mitigationpartnership.net](http://www.mitigationpartnership.net)
- Support for Low Emission Development in South East Europe (SLED)
- GCCA, Global Climate Change Alliance <http://www.gcca.eu/>
- Clima South [http://www.enpi-info.eu/mainmed.php?id=442&id\\_type=10](http://www.enpi-info.eu/mainmed.php?id=442&id_type=10)
- Clima East <http://www.climaeast.eu/>
- Euroclima <http://www.euroclima.org>
- EU REDD Facility <http://www.euredd.efi.int/portal/>
- Support of the International Mitigation and MRV Partnership [www.mitigationpartnership.net](http://www.mitigationpartnership.net)
- Energizing Development (EnDev) [http://endev.info/content/Main\\_Page](http://endev.info/content/Main_Page)
- International 2050 Pathways Partnerships
- Assistance for the elaboration and implementation of low-carbon and climate-change-resilient strategies in Africa
- The Nordic Partnership Initiative on Up-scaled Mitigation Action (NPI)
- Partnership for Market Readiness (PMR)
- Southeast Asia Network of Climate Change Focal Points
- ECRAN, Environment and Climate Regional Accession Network <http://www.ecranetwork.org/>
- Governance of Climate Change Finance for Asia-Pacific <http://www.climatefinance-developmenteffectiveness.org/>
- The Climate Finance Readiness Programme - CF Ready
- National Climate Finance Institutions Support Programme
- Eastern Europe Energy Efficiency and Environment Partnership (E5P) Fund [www.ebrd.com](http://www.ebrd.com)

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<sup>194</sup> [http://www4.unfccc.int/submissions/Lists/OSPSubmissionUpload/9\\_31\\_130380627669435473-EL-02-21-CB%20submission.pdf](http://www4.unfccc.int/submissions/Lists/OSPSubmissionUpload/9_31_130380627669435473-EL-02-21-CB%20submission.pdf)



- LoCAL – Local Climate Adaptive Living Facility <http://www.local-uncdf.org/>

It is also suggested that Cities and Regions actively participate in the upcoming APA (Ad-hoc Working Group on the Paris Agreement): On Tuesday, 17 May, the APA convened its opening plenary. After opening statements, the APA met in informal consultations to discuss the agenda and the organization of work. After the agenda was adopted, parties met in a contact group and later in open-ended informal consultations to discuss each of the agenda items.

**APA Conclusions:** In its conclusions (FCCC/APA/2016/L.3), the APA notes that it had launched work on all of its substantive agenda items, and has decided to:

- invite the Co-Chairs to prepare a scenario note for the resumed session of APA 1;
- encourage Parties that have not done so to sign the Paris Agreement and deposit their instruments of ratification, acceptance or approval;
- welcome consultations undertaken by the incoming COP 22 Presidency on possible early entry into force; and
- *request the Co-Chairs to prepare, by 30<sup>th</sup> August, a set of guiding questions to assist parties in developing their conceptual thinking on features and elements of the committee to facilitate implementation and promote compliance.*

On modalities for its organisation of work at its first session, the APA agrees to: continue working in a single contact group setting; meet to set the direction of work, take stock midsession and close the meeting; and carry out technical work on the six agenda items through informal consultations. The conclusions specify that the Co-Chairs will announce the facilitators well in advance of the resumed session of APA 1.

(....)

**Resilient Cities 2016: 7th Annual Global Forum on Urban Resilience and Adaptation:** This Forum, which is expected to bring together over 400 experts and practitioners, will focus on a range of issues related to urban resilience and climate change adaptation, including inclusive resilience strategies, financing the resilient city, measuring and monitoring progress, resilience and adaptation planning, governance and collaboration, resource management, and resilient infrastructure. Participants will be able to network, build new partnerships, and exchange ideas and best practices. **dates:** 6-8 July 2016 **location:** Bonn,

Germany **contact:** ICLEI – Local Governments for Sustainability **email:** [resilient.cities@iclei.org](mailto:resilient.cities@iclei.org) **www:** <http://resilientcities2016.iclei.org/>

## NAZCA and the GCF, the GEF, the TEC and the CTCN:

More than 10,000 commitments from non-state actors have been documented on NAZCA (2016)<sup>195</sup>, see Figure 19: Individual commitments illustrate the rising awareness of the whole of society. Businesses have committed massively to adopting new practices such as putting a price on carbon, or reaching zero deforestation in their supply chain. These commitments were registered on the NAZCA platform (*Non State Actor Zone for Climate Action*), which is expected to number around 10,000 commitments.

A detailed analysis of NAZCA outputs has been provided by a group of researchers (Yale University) available here: <http://tinyurl.com/yale-NAZCA>.

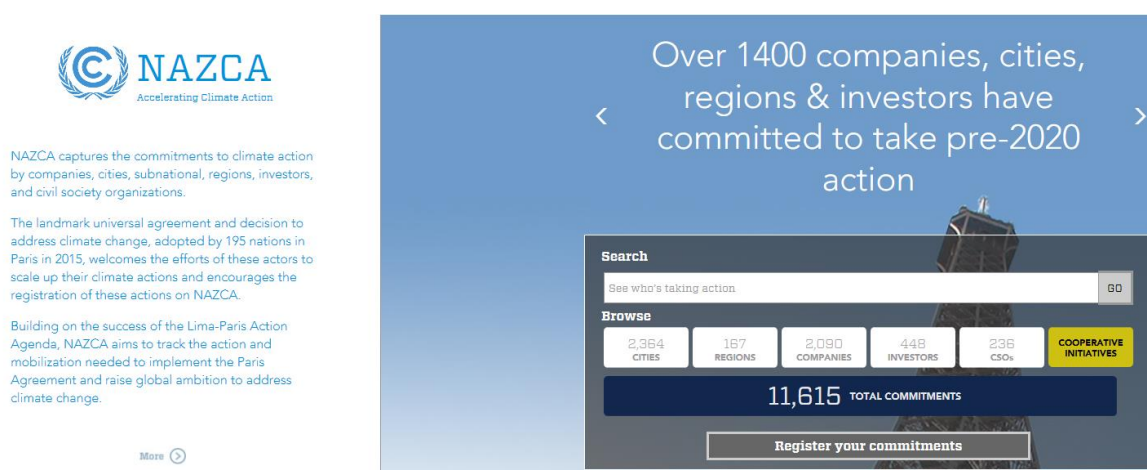


Figure 19: The NAZCA portal allows access to all single cities and regions having committed themselves already (status of numbers: mid-June 2016).

Under the UNFCCC, several institutions exist to provide means of support for enhancing action by developing countries on climate change. The GCF, the GEF, the TEC and the CTCN support developing countries' efforts to scale up mitigation and adaptation action. The Adaptation Committee and the Adaptation Fund also contribute to enhancing adaptation action.

<sup>195</sup> Nazca: <http://climateaction.unfccc.int/>

# Annex VI: Quantitative potentials and options to act for Cities and Regions

Quantitative assessments for the potentials to be unleashed by Cities and Regions are provided in a study by UNEP (2015)<sup>196</sup>. Several figures show clearly their high potential: Figure 20 shows initiatives on a city level and on a regional level.

“The three city level initiatives (C40, CoM, cCR) together, correcting for their overlap with each other, achieve 1.08 GtCO<sub>2</sub>e of additional emission reductions in 2020 as compared to a current policies scenario. The regional initiative (States and Regions Alliance) achieves 0.76 GtCO<sub>2</sub>e per year of additional emission reductions in 2020” (UNEP, 2015, chapter 5.4).

Figure 21 shows the emission reductions of envisaged cities and regional initiatives as calculated by UNEP (2015) and Figure 22 shows the emission reductions impacts as found in this study (UNEP, 2015).

Another (French) initiative is the “Regional Climate Air Energy Plans” (SRCAE)<sup>197</sup>.

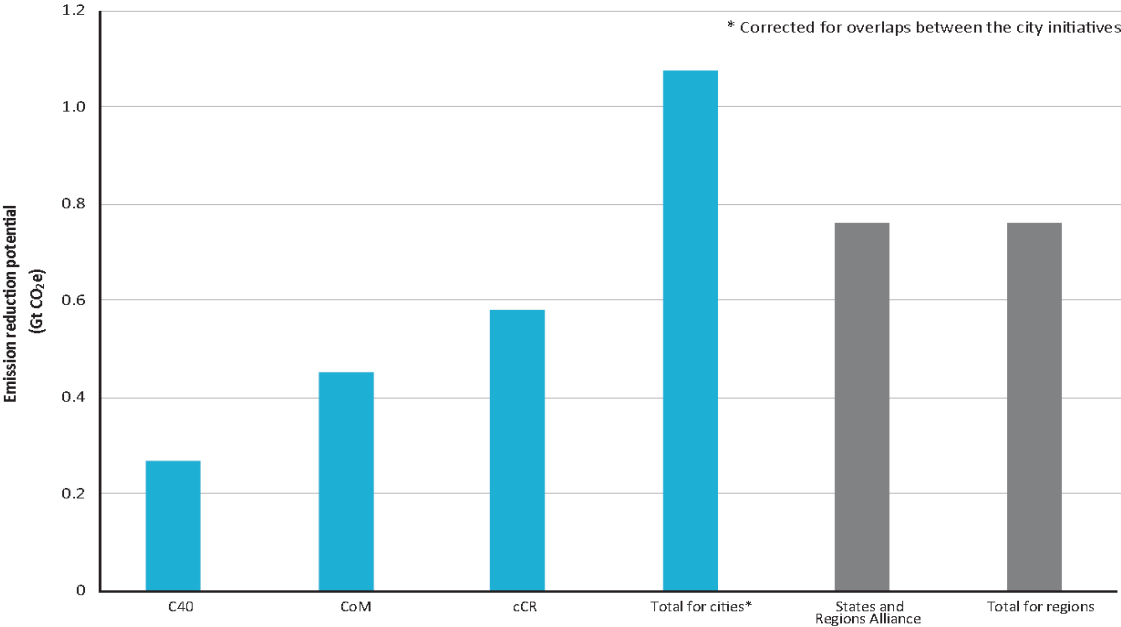
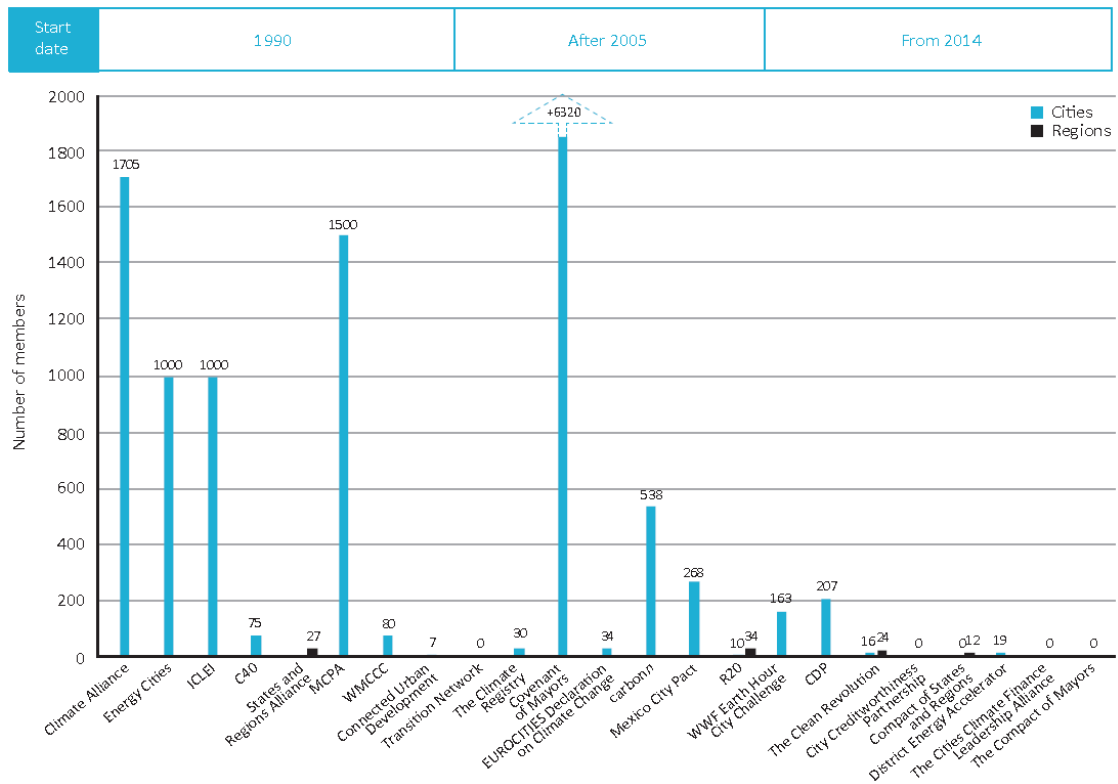


Figure 20: Emission reductions of envisaged cities and regional initiatives as calculated by UNEP (2015, p. 14).

<sup>196</sup> UNEP 2015. Climate commitments of subnational actors and business: A quantitative assessment of their emission reduction impact. United Nations Environment Programme (UNEP), Nairobi, available at [http://apps.unep.org/redirect.php?file=/publications/pmtdocuments/-Climate Commitments of Subnational Actors and Business-2015CCSA\\_2015.pdf.pdf](http://apps.unep.org/redirect.php?file=/publications/pmtdocuments/-Climate%20Commitments%20of%20Subnational%20Actors%20and%20Business-2015CCSA_2015.pdf.pdf)

<sup>197</sup> Ronan Dantec & Michel Delebarre (2013), Local governments in the run-up to Paris Climate 2015: from local stakeholders to global facilitators. Directorate-General of Global Affairs, Development and Partnerships, Synthesis of a Parliamentary report, available at <http://www.diplomatie.gouv.fr/photosvideos-et-publications/publications/enjeux-planetaires-cooperation/rapports/>.

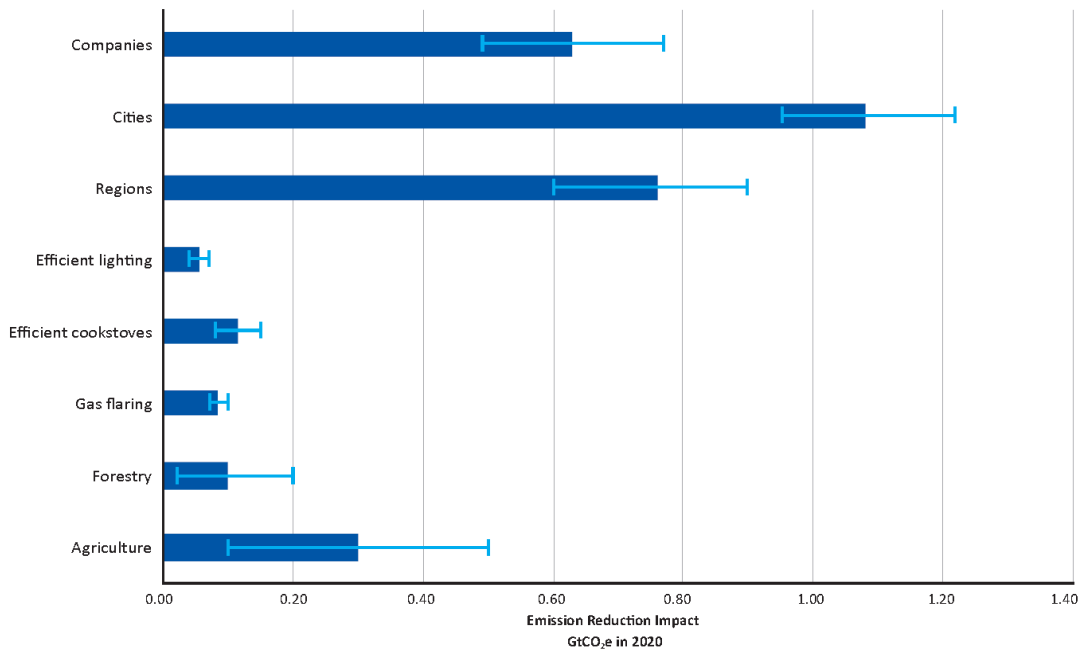


**Figure 5.1: City- and regional-level initiatives identified in this study, their start date and the number of participants in each**

Source: Own compilation based on websites of initiatives NB The most recent initiatives have not yet finalised lists of participants.

<sup>12</sup> CDP is a global not-for-profit organization, founded in 2000 which operates a global natural capital disclosure system through which more than 4,500 companies from more than 80 countries and 207 cities report, manage and share vital environmental information.

*Figure 21: Initiatives at city level and at regional level documented in UNEP (2015).*



*Figure 22: Emission reduction impact as found in the study UNEP (2015).*

Mitigation measures and areas	Reduction potential			Reduction from major initiatives (without correcting for overlap)
	Wedging the gap (Blok et al 2012) GtCO <sub>2</sub> e per year in 2020	UNFCCC (UNFCCC, 2013) GtCO <sub>2</sub> e per year in 2020	IEA energy/ climate map (IEA, 2013) GtCO <sub>2</sub> e per year in 2020	This study GtCO <sub>2</sub> e per year in 2020
Companies (excluding voluntary off-sets)	1.3			0.63
Cities	0.7			1.08
Regions	0.6			0.76
Efficient lighting	2.4	2	1.6	0.06
Efficient cookstoves	*			0.12
Methane and other short lived climate pollutants	*	1.1	0.6	0.09
Fluorinated greenhouse gases	0.3	0.5		0.00
Reduce deforestation	1.8	1.1–4.3		0.10
Agriculture	0.8	1.3–4.2		0.30
Renewable energy	3	1–1.5		0.00
International transport	0.2	0.3–0.5		0.00

\* Not quantified

Table 1: Potentials from the UNEP Emissions Gap Report 2013 (relevant sections) and emission reductions in the study (UNEP, 2015, p. 28).

City and Region Initiatives	
<b>C40</b>	<b>C40</b> cities are a network of the world's megacities committed to taking action that reduces global GHG emissions. The CDP provides a reporting platform where cities can disclose their climate mitigation, adaptation and water management data. In 2015, an Open Data Portal for C40 cities was launched, which provides recent annual city-wide emissions.
<b>carbonn Climate Registry (cCR)</b>	<b>cCR</b> is not only an initiative itself, but the reporting platform for two other initiatives: <b>The Global Cities Covenant on Climate – The Mexico City Pact</b> , which commits cities to 10 action points, including to reduce their local GHG emissions voluntarily, to adopt mitigation measures to achieve their targets and to report their emissions and targets through the cCR; and the <b>WWF Earth Hour Challenge</b> , where cities ideally commit to targets for reducing CO <sub>2</sub> emissions, although this is not required. Emissions and targets of participating cities are also reported through the cCR. Its secretariat is provided by ICLEI.
<b>Covenant of Mayors</b>	The <b>CoM</b> is a group of city mayors, mostly from the EU, but also non EU <sup>13</sup> , who commit to meet and exceed the EU CO <sub>2</sub> reduction target of 20% by 2020 (from a 1990 baseline). Signatories also commit to submitting a Sustainable Energy Action Plan (SEAP). A registry is available on the website.
<b>The Climate Group's State and Regions Alliance</b>	The <b>State and Regions Alliance</b> brings together 27 subnational government leaders to share expertise, demonstrate impact and influence the international climate dialogue. In 2005 they signed the Montreal Declaration of Federated States & Regions, in which they commit to setting targets and implementing climate action in their own jurisdictions. The alliance has since continued to formulate its members' expectations from national and international decision takers in a series of declarations, which also commit its members to further domestic ambitious actions.

Table 2: Potentials from the UNEP Emissions Gap Report 2013 (relevant sections) and emission reductions in the study (UNEP, 2015)<sup>198</sup>.

<sup>198</sup> UNEP (2015), Climate commitments of subnational actors and business: A quantitative assessment of their emission reduction impact. United Nations Environment Programme, Nairobi, ISBN: 978-92-807-3465-2.

## Annex VII: Supporting arguments from scientific journals

The following section draws on “scientific” journals (available via the European academic retrieval, analysis and repository system Scopus.com) and provides their most relevant results for this text’s issues.

A summary of climate-related funding mechanisms is shown in Figure 23 and a typology of climate adaptation mechanisms in Figure 24.

Summary of UNFCCC climate-related funding mechanisms.

UNFCCC Climate-Related Funding Mechanism <sup>a</sup>	Brief Description of Instruments Related to Adaptation	Convention Guidance for Integrating Adaptation into Climate Change and Sustainable Development
Global Environment Facility Trust Fund	Contributions from donor states based on replenishment <sup>b</sup> and establishes guidelines for project funding through Council Meetings based on the general criteria of providing “global environmental benefits.” The Global Environment Facility Trust Fund includes the Strategic Priority for Adaptation (SPA) <sup>c</sup> , a Pilot program, operational in July 2004, of US \$50 million	Establishes pilot and demonstration projects to show how adaptation planning and assessment can be built into projects that provide real benefits and be integrated into national policy and sustainable development planning (UNFCCC Decision 6/CP.7)
Least Developed Countries Fund	Voluntary contributions by donor nations for adaptation in least developed countries. Policies and procedures established by the Least Developed Country Fund/Special Climate Change Fund Council. The Least Developed Country Fund supports a work program to assist least-developed countries with carrying out, inter alia, the preparation and implementation of National Adaptation Programs of Action	Promotes the integration of adaptation measures in national development and poverty reduction strategies plans or policies (UNFCCC Decision 3/CP.11)
Special Climate Change Fund	Two active financing windows to which nations voluntarily contribute, for the benefit of developing countries. The Special Climate Change Fund finances projects relating to four areas: (a) adaptation; (b) technology transfer and capacity building; (c) energy, transport, industry, agriculture, forestry, and waste management; and (d) economic diversification. Policies and procedures established by the Least Developed Country Fund/Special Climate Change Fund Council	Contributes to the integration of climate change considerations into development activities (UNFCCC Decision 5/CP.9)
Adaptation Fund	Two percent of Clean Development Mechanisms projects funding supports the Adaptation Fund. Policies and procedures for funding established by the Adaptation Fund board	

<sup>a</sup> According to the United Nations Framework Convention on Climate Change, the Global Environment Facility’s role is defined as “an operating entity of the finance mechanism” for the Convention under Article 11.

<sup>b</sup> Since 1991, approximately US \$1.8 billion has been provided in grants from the Global Environment Facility Trust Fund to climate-change activities. An additional amount of more than US \$9 billion has been leveraged through co-financing from bilateral agencies, recipient countries, and the private sector.

<sup>c</sup> The Strategic Priority for Adaptation is an ecosystem-focused fund aimed at ensuring that climate change concerns are incorporated in ecosystem management through Global Environment Facility focal area projects. The Strategic Priority for Adaptation finances demonstration projects to show how climate change adaptation planning and assessment can be practically integrated into national policy and sustainable-development planning.

<sup>d</sup> At the first pledging meeting of potential donors to the Special Climate Change Fund, a total of US \$34.7 million was pledged. To date, funding windows a and b of the Special Climate Change Fund are active, for a total of \$260 million but no pledges have been made to financing windows c and d. The Least Developed Countries Fund now totals \$6 million, as of March 28, 2013 (B. Biagini, personal communication, January 12, 2013).

Figure 23: UNFCCC’s climate-related funding mechanisms<sup>199</sup>

<sup>199</sup> Biagini, B., Bierbaum, R., Stults, M., Dobardzic, S., & McNeeley, S. M. (2014). A typology of adaptation actions: A global look at climate adaptation actions financed through the global environment facility. *Global Environmental Change*, 25(1), 97-108. doi:10.1016/j.gloenvcha.2014.01.003

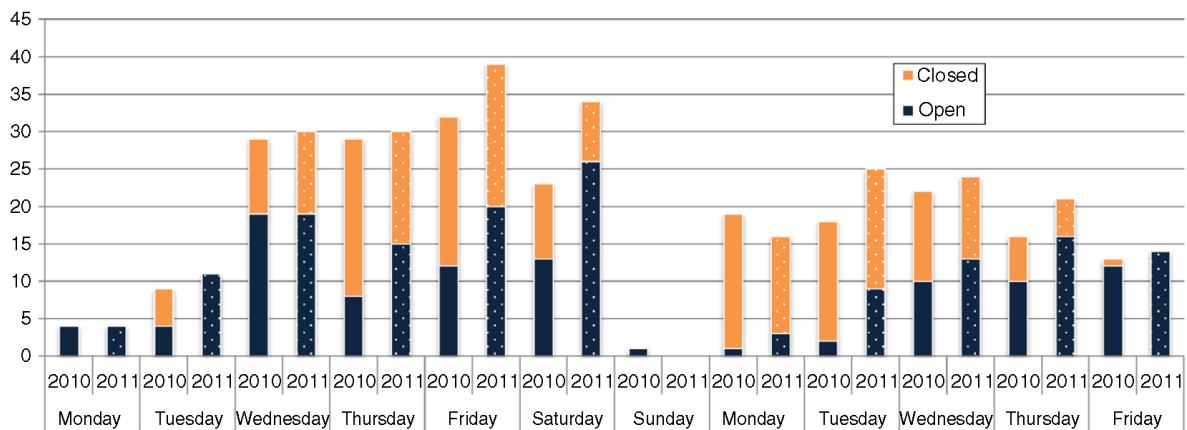
Typology of climate adaptation action.

Adaptation category	Description	Examples of actions in category	Similar classification in literature
Capacity Building	Developing human resources, institutions, and communities, equipping them with the capability to adapt to climate change	Training/workshops for knowledge/skills development, public outreach and education, dissemination of info to decision makers/stakeholders, Identification of best practices, training materials	Educational/informational (Smit and Skinner, 2002; Wilbanks and Kates, 1999; Huq et al., 2003; Smit et al., 2000; Carter et al., 1994; Tompkins et al., 2010)
Management and Planning	Incorporating understanding of climate science, impacts, vulnerability and risk into government and institutional planning and management	Developing an adaptation plan, livelihood diversification, drought planning, coastal planning, ecosystem-based planning, changing natural resource management	Administrative/institutional/organizational (Smit and Skinner, 2002; Wilbanks and Kates, 1999; Huq et al., 2003; Smit et al., 2000; Carter et al., 1994; Tompkins et al., 2010)
Practice and Behavior	Revisions or expansion of practices and on the ground behavior that are directly related to building resilience	Soil/land management techniques; climate-resilient crops or livestock practices, post-harvest storage, rainwater collection, expanding integrated pest management	Behavioral (Smit and Skinner, 2002; Wilbanks and Kates, 1999; Huq et al., 2003)
Policy	The creation of new policies or revisions of policies or regulations to allow flexibility to adapt to changing climate	Mainstreaming adaptation into development policies, land-use specific policies, improvement of water resource governance, revised design parameters, ensuring compliance with existing regulations	Legislative/Legal (Smit et al., 2000; Carter et al., 1994)
Information	Systems for communicating climate information to help build resilience towards climate impacts (other than communication for early warning systems)	Decision support tools, communication tools, data acquisition efforts, digital databases, remote communication technologies	Infrastructural/structural (Smit et al., 2000; Carter et al., 1994) Educational/informational (Smit and Skinner, 2002; Wilbanks and Kates, 1999; Huq et al., 2003; Smit et al., 2000; Carter et al., 1994)
Physical infrastructure	Any new or improved hard physical infrastructure aimed at providing direct or indirect protection from climate hazards	Climate-resilient buildings, reservoirs for water storage, irrigation systems, canal infrastructure, sea walls	Infrastructural/structural (Smit et al., 2000; Carter et al., 1994)
Warning or observing systems	Implementation of new or enhanced tools and technologies for communicating weather and climate risks, and for monitoring changes in the climate system	Developing, testing and deploying monitoring systems, upgrade weather or hydromet services	Research and development (Smit et al., 2000; Carter et al., 1994)
"Green" infrastructure	Any new or improved soft, natural infrastructure aimed at providing direct or indirect protection from climate hazards	Revegetation, afforestation, woodland management, increased landscape cover	Infrastructural/structural (Smit et al., 2000; Carter et al., 1994)
Financing	New financing or insurance strategies to prepare for future climate disturbances	Insurance schemes, microfinance, contingency funds for disasters	Financial (Smit and Skinner, 2002; Wilbanks and Kates, 1999; Huq et al., 2003; Smit et al., 2000; Carter et al., 1994) Market mechanisms (Smit et al., 2000; Carter et al., 1994)
Technology	Develop or expand climate-resilient technologies	Technologies to improve water use or water access, solar energy capacity, biogas, water purification, solar salt production	Technological (Smit and Skinner, 2002; Wilbanks and Kates, 1999; Huq et al., 2003; Smit et al., 2000; Carter et al., 1994)

Figure 24: A typology of climate adaptation action<sup>200</sup>

The important question of open-door meetings versus closed-door meetings is discussed extensively and shown in Figure 20. Cities and Regions could exert an influence to shift towards more transparent open-door meetings. Nasiritousi & Linnér (2016, p.128) state: “In particular, states retain the right to hold closed-door meetings as they see fit, even in some of the most open international organizations, thereby reducing the opportunities for NSAs to engage in international policy-making.”

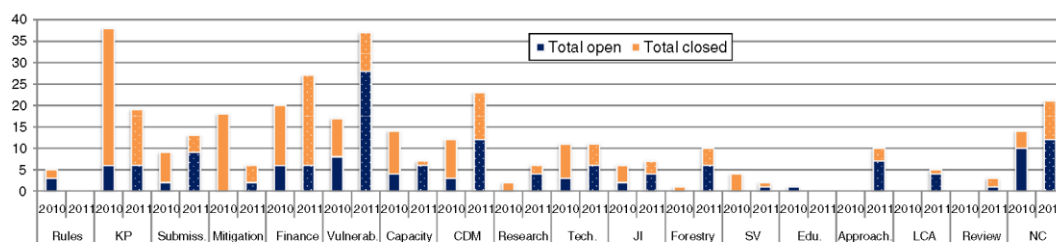
<sup>200</sup> Biagini, B., Bierbaum, R., Stults, M., Dobarzic, S., & McNeely, S. M. (2014). A typology of adaptation actions: A global look at climate adaptation actions financed through the global environment facility. *Global Environmental Change*, 25(1), 97-108. doi:10.1016/j.gloenvcha.2014.01.003, page 104



**Fig. 1** Official meetings in the UNFCCC daily program during COP/CMP 2010 and 2011 per weekday. Open/closed meetings coded from the daily programs of the UNFCCC meetings of COP16/CMP6 (2010) in Cancún and COP17/CMP7 (2011) in Durban. The daily programs provide an indication of the variation in open/closed meetings during the two week conference

*Figure 25: Official meetings in the UNFCCC daily programs during COPs 2010-2011 by days<sup>201</sup>*

Finance issues have a relatively high “closed” percentage, as shown in Figure 26.



**Fig. 2** Official meetings in the UNFCCC daily program during COP/CMP 2010 and 2011 per issue area. Open/closed meetings coded from the daily programs of the UNFCCC meetings of COP16/CMP6 in Cancún (2010) and COP17/CMP7 in Durban (2011) per issue area. Informal meetings were coded into the following broad issue areas: Rules of procedures and arrangements for intergovernmental meetings; Kyoto Protocol—LULUCF and numbers (KP); Submissions by parties; Enhanced action on Mitigation; Finance; Vulnerability, adaptation, and response measures; Capacity building; Clean Development Mechanism (CDM); Research and systematic observation; Technology; Joint implementation (JI); Forestry; Shared vision (SV); Education, Training and Public Awareness; Sectoral approaches and various approaches; Long-term Cooperative Action under the Convention (LCA); Review; National communications and accounting reports (NC). The daily programs provide an indication of the variation in open/closed meetings

*Figure 26: Official meetings in the UNFCCC daily programs during COPs 2010-2011 by themes<sup>202</sup>*

Ha et al. (2016, p. 102-103) “provide an initial mapping of the emerging landscape of climate finance within and between developing countries – so called **South-South Climate Finance (SSCF)** – showing that it is rapidly growing and taking a variety of new institutional forms. (...). To seize this opportunity, we recommend that countries track SSCF in the UNFCCC reporting framework, recognize the full scope and various forms SSCF can take (including bilateral, multilateral, public, private, financial and in-kind

<sup>201</sup> Nasiritousi, N., & Linnér, B. -. (2016). Open or closed meetings? explaining nonstate actor involvement in the international climate change negotiations. *International Environmental Agreements: Politics, Law and Economics*, 16(1), 127-144. doi:10.1007/s10784-014-9237-6

<sup>202</sup> Nasiritousi, N., & Linnér, B. -. (2016). Open or closed meetings? explaining nonstate actor involvement in the international climate change negotiations. *International Environmental Agreements: Politics, Law and Economics*, 16(1), 127-144. doi:10.1007/s10784-014-9237-6, p. 131



instruments), and that new multilateral development institutions coordinate with existing institutions to progressively green all financial flows.”

**Table 1.** South-South Climate Finance flow in 2013 (US\$ billion)

Global total climate finance flow in 2013	331		
North to South	34		
South to South	10		
Division of South-South flow by origins and destinations	<u>Origins</u>		<u>Destinations</u>
	East Asia & the Pacific	3	East Asia & the Pacific
	Multilateral mitigation	3.7	Latin America & Caribbean
	Multilateral adaptation	3.3	South Asia
			Sub-Saharan Africa
			Middle East and North Africa
			Central Asia & Eastern Europe

Source: Climate Policy Initiative database for Buchner et al. (2014)

Figure 27: South-South climate flows, from Ha et al. (2016)<sup>203</sup>

Ha et al. (2016): “The Climate Policy Initiative (CPI) estimated that South–South cross-border climate finance reached US\$10 billion in 2013 (Buchner et al., 2014). Putting it into context, that is as much as 30 per cent of the climate finance that CPI calculates was mobilized from public and private sources in developed countries to developing countries in the same period (US\$34 billion), and 10 per cent of total climate finance flows globally (US\$331 billion) (see Table 1). *There are signs of continued expansion of SSCF.*” Further on p.106: “*To implement this shift, all countries engaged in climate finance should begin reporting their activities to the UNFCCC’s Standing Committee on Finance, to be made public on the UNFCCC’s finance portal.*”

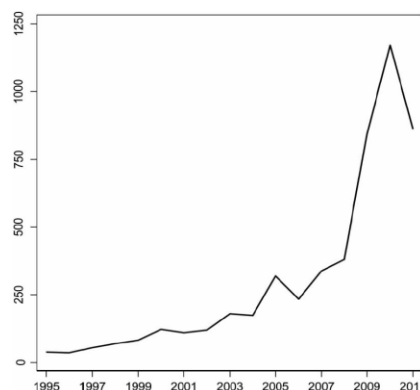


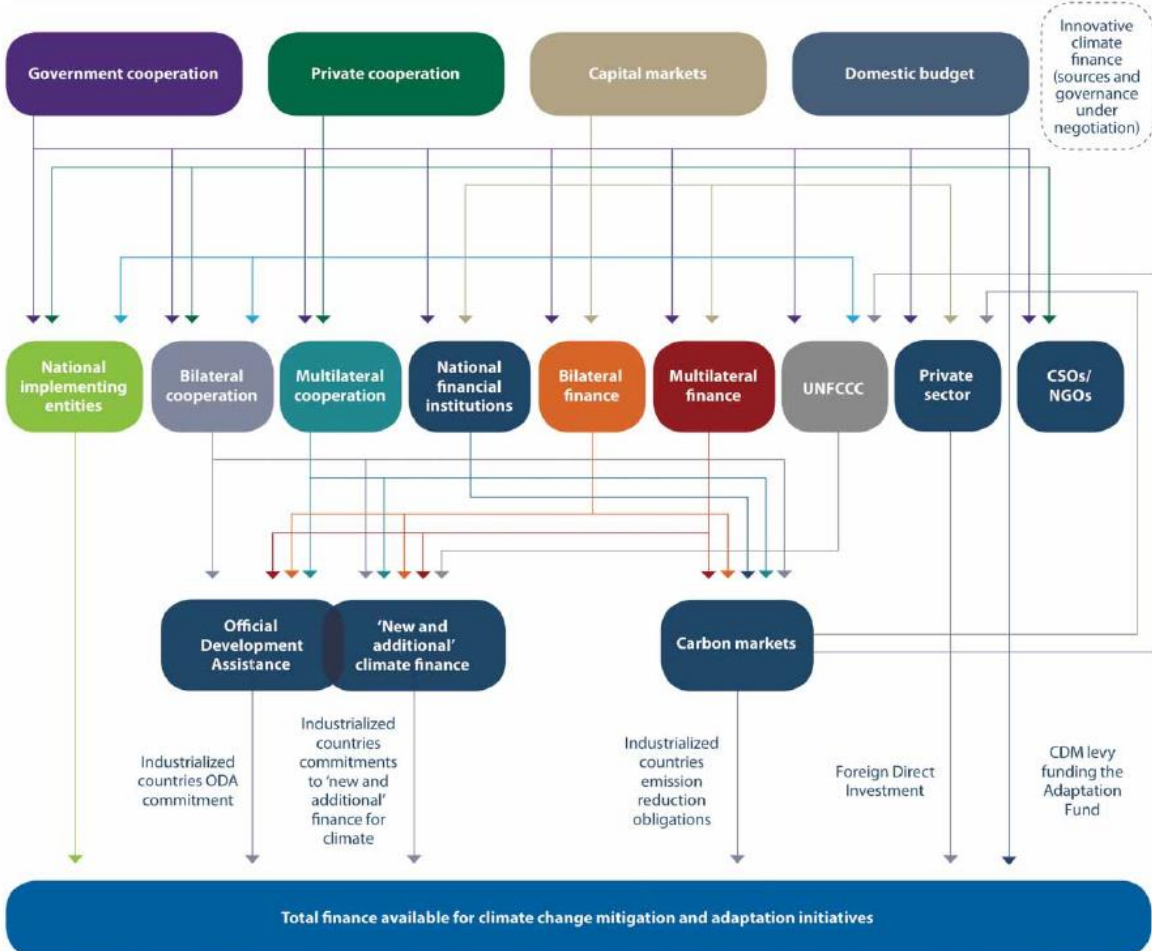
Figure 28: Civil society membership in state national delegations at the COPs, 1995-2011, from Böhmelt (2013, p. 699)<sup>204</sup>

Böhmelt (2013, p. 700): “The substantial increase in membership from 1995 to 2011 supports the claim that **civil society groups increasingly seek to serve on government delegations** in order to ‘**penetrate deeply into official decision-making**’ (Figure 28).

<sup>203</sup> Ha, S., Hale, T., & Ogden, P. (2016). Climate finance in and between developing countries: An emerging opportunity to build on. *Global Policy*, 7(1), 102-108. doi:10.1111/1758-5899.12293

<sup>204</sup> Böhmelt, T. (2013). Civil society lobbying and countries' climate change policies: A matching approach. *Climate Policy*, 13(6), 698-717. doi:10.1080/14693062.2013.788870

A broad view of climate finance is taken here in Gomez-Echeverri (2013, p. 635f)<sup>205</sup> (Figure29 ):



**Figure 1** The evolving architecture of climate  
 Source: UNDP (2011) adapted from Atteridge, Siebert, Klein, Butler, & Teller (2009).

Figure 29: The evolving architecture of climate. A broad view on climate finance, from Gomez-Echeverri (2013, p. 637)<sup>206</sup>

<sup>205</sup> Gomez-Echeverri, L. (2013). The changing geopolitics of climate change finance. *Climate Policy*, 13(5), 632-648. doi:10.1080/14693062.2013.822690  
<sup>206</sup> Böhmelt, T. (2013). Civil society lobbying and countries' climate change policies: A matching approach. *Climate Policy*, 13(6), 698-717. doi:10.1080/14693062.2013.788870