

**CLIMATE**  
ANALYTICS



**USING THE GLOBAL  
STOCKTAKE TO IMPROVE  
NATIONAL CLIMATE  
POLICY AMBITION  
AND IMPLEMENTATION**

***OCT. 2021***

# Using the Global Stocktake to Improve National Climate Policy Ambition and Implementation

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# 00. ACRONYMS

AILAC	Independent Association of Latin American and Caribbean States	KP	Kyoto Protocol
AOSIS	Alliance of Small Island Developing States	LDC	Least Developed Country
BMU	German Federal Ministry for the Environment, Nature Conservation and Nuclear Safety	LT-LEDS	Long Term Low Emission Development Strategy
BR	Biennial Report	MA	Multilateral Assessment
BUR	Biennial Update Report	MRV	Monitoring, Reporting and Verification
CAEP	Climate Action Enhancement Package	NAMA	Nationally Appropriate Mitigation Action
CARICOM	Caribbean Community	NAP	National Adaptation Plan
CBIT	Capacity Building Initiative for Transparency	NAPA	National Adaptation Programme of Action
COP	Conference of the Parties	NDC	Nationally Determined Contribution
COVID-19	Coronavirus Disease	NIR	National Inventory Report
CMA	Conference of the Parties serving as the Meeting of the Parties to the Paris Agreement	NSDP	National Sustainable Development Policy
EIG	Environmental Integrity Group	OECD	Organisation for Economic Cooperation and Development
ETF	Enhanced Transparency Framework	PA	Paris Agreement
EU	European Union	REDD	Reducing Emissions from Deforestation and Forest Degradation
EUR	Euros	SR	Special Report
FSV	Facilitative Sharing of Views	SBI	Subsidiary Body for Implementation
G77 & China	Group of 77 and China	SIDS	Small Island Developing States
GDP	Gross Domestic Product	SNICHILE	National GHG Inventory System of Chile
GEF	Global Environment Facility	SP/CONAGECE	Permanent Secretariat of the National Council for Management of the Environment
GHG	Greenhouse Gas	SP/CONEDD	National Council for the Environment and Sustainable Development
GST	Global Stocktake	SPREP Secretariat	of the Pacific Regional Environment Programme
IAR	International Assessment and Review	TD	Talanoa Dialogue
ICA	International Consultation and Analysis	UNCTAD	United Nations Conference on Trade and Development
ICTU	Information to Facilitate Clarity, Transparency and Understanding (of NDCs)	UNDP	United Nations Development Programme
iGST	Independent Global Stocktake	UNEP	United Nations Environment Programme
IMCIAC	Inter-Ministerial Committee to Implement the Actions of the UNFCCC	UNFCCC	United Nations Framework Convention on Climate Change
IPCC	Intergovernmental Panel on Climate Change	UBA	German Federal Environment Agency
IPCC SR 1.5C	IPCC Special Report on Global Warming of 1.5°C	USD	United States Dollar

# 01. EXECUTIVE SUMMARY

This report was commissioned by the Independent Global Stocktake (iGST) and is aimed at (a) exploring how the guidance from United Nations Framework Convention on Climate Change (UNFCCC) processes have been and are being used at the national level to influence policy and politics in specific countries, and (b) examining the implications of these findings for the use of the outcomes from the Global Stocktake (GST) in 2023 as an important input into the next round of Nationally Determined Contributions (NDCs) in 2025.

Seven countries participated in the study and reflected different levels of economic development, different governance typologies, different greenhouse gas emission levels, and a wide geographic spread with regional balance. These countries were: two Least Developed Countries (LDCs) - Burkina Faso from Africa and Nepal from South Asia; two Small Island Developing States (SIDS) - Jamaica from the Caribbean and Samoa from the Pacific; two large developing countries – Chile from South America and Indonesia from South-East Asia; and one large industrialised country – Germany from Europe. A survey was developed and disseminated to government officials, and seven countries provided responses to the survey. The conclusions and recommendations in the report are drawn from information provided by in-country decision-makers and implementers of policy in these seven countries. Six countries were selected for in-depth case studies and these are presented in the report.

The main research findings are as follows:

01. There are measures in place in each country to ensure that UNFCCC guidance eventually reaches the appropriate policy level persons in each of the participating countries, though the efficacy differs.
02. The extent to which the guidance is used varies among countries depending on the institutional structures in place and other localised challenges.
03. In all countries, domestic processes have incorporated the use of UNFCCC guidance on reporting and other mandates in a variety of ways, with the level of structure and formalisation of these processes varying depending on development status.
04. Countries, in particular the SIDS and LDCs, have experienced a number of challenges in the use of UNFCCC guidance. These included:
  - **Unclear and general guidance** which is open for interpretation at the local level.
  - **Lack of understanding of the guidance:** This occurs in some cases as a result of the guidance being new, and therefore subject to interpretation, In other cases, this is due to factors such as:
  - **Under-developed institutional arrangements:** The institutional arrangements in SIDS and LDCs are primarily at the policy level and do not provide for follow-up and implementation where technical implementation capacity is required.
  - **Lack of local human capacity to interpret and implement the guidance:** Some guidance is technical in nature e.g. IPCC Guidance on Greenhouse Gas (GHG) inventories, and many of the countries have not had personnel who are trained in these areas.
  - **Absence of required inputs** e.g. data. Many of these countries do not have a history of data management and the data required for some of the reporting and participation requirements simply does not exist in these countries.

# 01. EXECUTIVE SUMMARY cont'd

05. The developing countries surveyed have been able to address some of these challenges through (a) the receipt of technical and financial support from third parties and external experts and (b) access to training and capacity building support that have provided an understanding of the need for implementing the guidance and provided the skill sets needed for local experts to engage.
06. Respondents also identified a number of additional factors that can facilitate the use of UNFCCC guidance in national processes. These included:
- Securing political buy-in at the highest levels of government.
  - Use of inclusive approaches that involved a wide range of stakeholders.
  - Ensuring that the right stakeholders are involved, so that the desired information is received.
  - Public education.
  - Inclusion of the need to translate guidance into national climate legislation. This could include automatic policy triggers to kick off the discussion on an updated target, *e.g. by asking a scientific or political body to give a recommendation on the new climate target, based on the results of the global stocktake.*
  - Use of the national media for sensitisation and fostering buy-in for action at the national level.

## RECOMMENDATIONS

07. The ability of countries to implement the guidance from the first GST into the development of their NDCs in 2025, can be enhanced by addressing the constraining factors identified in this report. This can be achieved through the establishment of support programs like the NDC Partnership and the UNDP Climate Promise that could contribute to the implementation of measures that build local capacity, and through provision of bilateral support to countries.
08. The iGST can help to enhance the ability of all countries to implement the guidance resulting from the GST in 2023. Actions that could be taken include:
- Raise awareness of the need for the provision of support to developing countries in building capacity to engage effectively in the GST processes and the implementation of its outcomes;
  - Advocate on key issues e.g. on the quality of the GST outcome and related guidance for the preparation of the 2025 NDCs; on the need for clear and precise guidance from the UNFCCC on all the GST outcomes, including with respect to the preparation of the 2025 NDCs; and on the need for the translation of UNFCCC guidance from the GST outcome into simple, practical tools for utilisation at the local level;
  - Support inclusive, consultative stakeholder inputs into the 2025 NDC development processes.

## 02. INTRODUCTION

### 2.1. The Global Stocktake in the Paris Agreement

At the core of the Paris Agreement (PA) is its focus on continuously increasing the ambition of climate change action in line with the Agreement's goals. This is to be achieved *inter alia* through an ambition mechanism that provides for the ratcheting up of ambition every five years through the submission of successive Nationally Determined Contributions (NDCs). One of the centre-pieces of the ambition mechanism is the conduct of a Global Stocktake (GST) every five years, starting in 2023. This GST is mandated to “periodically take stock of the implementation of this Agreement to assess the collective progress towards achieving the purpose of this Agreement and its long-term goals” (PA Article 14, Para 1). Parties are then expected to utilise the outcomes of the global stocktake “...in updating and enhancing, in a nationally determined manner, their actions and support in accordance with the relevant provisions of this Agreement, as well as in enhancing international cooperation for climate action” (PA Article 14, Para 3).

Decision 19/CMA.1 goes on to specify that “... the global stocktake should:(a) Identify opportunities for and challenges in enhancing action and support for collective progress in relation to the thematic areas of the global stocktake ... as well as possible measures and good practices and international cooperation and related good practices; (b) Summarise key political messages, including recommendations ... for strengthening action and enhancing support.”<sup>1</sup>

The UNFCCC guidance therefore mandates that the GST outcome include political messages, as well as recommendations for strengthening action and enhancing support related to the overall implementation of the PA. However, despite this mandate, neither the PA, nor the CMA Decision, makes any specific provisions for the manner in which the outcomes of the GST will be utilised at the national level, except to stipulate that it should be done in a nationally

determined manner. It is left up to each Party to decide what the appropriate national processes should be.

### 2.2. The Independent Global Stocktake (iGST)

The Independent Global Stocktake (iGST) is a grouping of organisations that have come together to provide input to the GST with the aim of increasing the accuracy, transparency, accountability, and relevance of the official benchmarking process through a combination of research, analysis, and dialogue. (<https://www.climateworks.org/independent-global-stocktake/>).

One of the concerns of the iGST is the ways in which the GST will have influence at the national level, i.e. how national decision-making on climate change programming will be influenced by the GST.

### 2.3. Research objectives

The research undertaken for this report was therefore aimed at (a) exploring how the guidance<sup>2</sup> from United Nations Framework Convention on Climate Change (UNFCCC) processes have been and are being used at the national level to influence policy and politics in specific countries, and (b) at examining the implications of these findings for the framing and use of the outcomes from the GST in 2023 as an important input into the next round of NDCs in 2025. It also sought to identify the conditions under which the GST could have more effect on in-country processes and make proposals for how the GST could be made more relevant at the national level and how the iGST can play a role in this regard.

<sup>1</sup> FCCC/PA/CMA/2018/3/Add. Decision 19/CMA.1

<sup>2</sup> Guidance in this report refers to directions from the UNFCCC process which Parties are required or encouraged to put into practice. These can include technical guidelines which Parties are expected to follow in fulfilling a particular mandate e.g. the guidelines for the submission of National Communications and Nationally Determined Contributions, or guidance that are deemed to be of a general nature and express aspirations rather than finite plans. This Guidance is contained in Decisions adopted by the Conference of the Parties (COP) as relevant to the Framework Convention, the Conference of Parties serving as the Meeting of Parties to the Kyoto Protocol (CMP) and the Conference of Parties serving as the Meeting of Parties to the Paris Agreement (CMA).

## 03. METHODOLOGY

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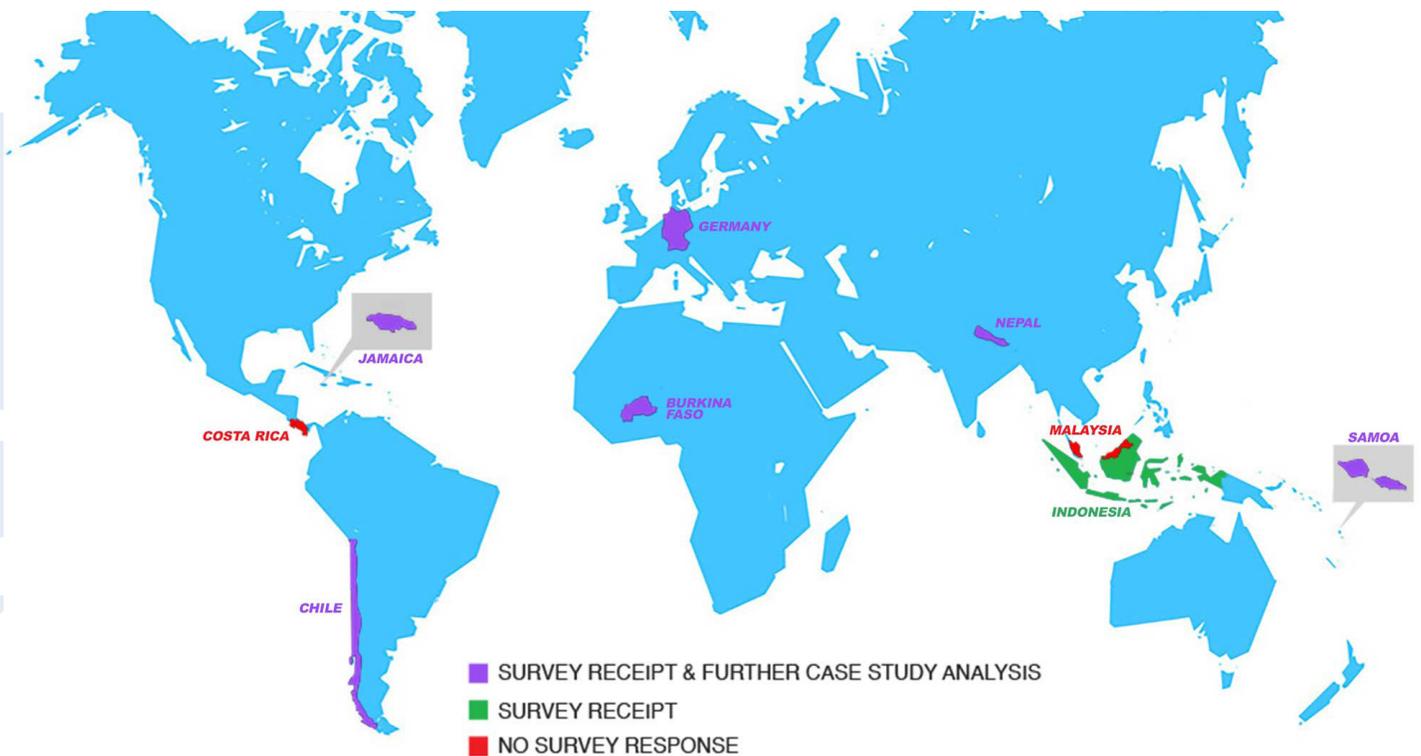
A variety of research methods were used in undertaking the consultancy. These included:

- 01 Desktop research and analysis** - As appropriate, to source publicly available information on the UNFCCC processes and countries and to inform the framing of the interaction with representatives from the selected countries.
- 02 Identification and selection of countries to participate in the project** - Eight countries were selected to reflect different levels of economic development, different governance typologies, different greenhouse gas emission levels, and a wide geographic spread with regional balance. These countries were: two Least Developed Countries (LDCs) - Burkina Faso from Africa and Nepal from central Asia; two Small Island Developing States (SIDS) - Jamaica from the Caribbean and Samoa from the Pacific; one Central American country – Costa Rica; two large developing countries – Chile from South America and Malaysia from South-East Asia; and one large industrialised country – Germany from Europe. The project team included a country focal point for each participating country.
- 03 Sourcing of primary data and information from the eight selected countries using an online survey tool** – This survey tool was based on ten research questions. A copy of the research questions is contained in **Appendix 1**.
- 04 Receipt and analysis of survey responses** - The following countries submitted responses to the survey - Burkina Faso, Chile, Germany, Jamaica, Samoa and Nepal. No responses were received from Costa Rica and Malaysia, despite having received prior agreement that they would participate in the survey. The project team was successful in replacing Malaysia with Indonesia, but attempts to source a replacement for Costa Rica were not successful. The final report is therefore based on the information received from seven countries.
- 05 Follow-up to initial survey responses** - It was necessary to revert with follow-up questions to some of the countries to seek clarification on the information provided, or to address gaps in the information provided. The follow up questions are included in **Appendix 1** to this report.
- 06 Selection of countries for in-depth case studies** - The following six (6) countries were selected for in-depth case studies based on the information available and the diversity of experiences between the countries – Burkina Faso, Chile, Germany, Jamaica, Nepal and Samoa.

**07 Drafting of Case Studies** – The case studies were drafted by members of the project team.

**08 Internal Reviews and Validation of Case Studies** – the draft case studies were submitted to country focal points in the project team for internal review and validation.

**09 Preparation of final written report.**



## 04. OVERVIEW OF RELEVANT UNFCCC PROCESSES

In order to understand the overall influence of UNFCCC decisions on national processes and also how Parties utilise the outputs from these decisions, the project team examined several UNFCCC decisions and related processes. While there were multiple processes that provided insights, this report examines the most relevant five (5) processes based on their proven interaction with domestic arrangements and institutions.

### These 5 processes<sup>3</sup> were:

- Reporting under the Convention through National Communications, Biennial Reports (BRs), and Biennial Update Reports (BURs)
- International Assessment and Review (IAR)/Multilateral Assessment (MA)
- International Consultation and Analysis (ICA)/Facilitative Sharing of Views (FSV)
- Development of Nationally Determined Contributions (NDCs)
- The Talanoa Dialogue.

#### 4.1. Reporting under the Convention<sup>4</sup>

Reporting is an established feature of the UNFCCC. Under Article 12.1 of the Convention, Parties are required to communicate:

01. A national inventory of anthropogenic emissions by sources and removals by sinks of all greenhouse gases not controlled by the Montreal Protocol;
02. A general description of steps taken or envisaged to implement the Convention; and
03. Any other information that Parties consider relevant to achieving the objective of the Convention, including, if feasible, material relevant for calculations of global emission trends (*UNFCCC, Article 12.1*).

Further to Article 12.1, Parties have iteratively developed guidance on reporting processes, which includes guidance on national and institutional arrangements. This has resulted in the elaboration of a bifurcated reporting and review processes under the Convention. Although these arrangements will be mostly superseded by the Enhanced Transparency Framework (ETF) under the Paris Agreement in 2024, they remain relevant for developing an understanding of some of the ways in which Parties respond to and engage with the international process.

The first reporting guidance developed by Parties pertained to the **submission of national communications, including greenhouse gas inventories**. Very early COP Decisions (e.g. 2/CP.1, 3/CP.1, 4/CP.1, 9/CP.2), and related annexes, provide the foundation for national communications and national greenhouse gas inventory reporting.

<sup>3</sup> The reporting modalities referenced are from the UNFCCC rather than the Paris Agreement as the Paris Agreement reporting does not commence until 2024.

<sup>4</sup> The terms developed/developing roughly correspond to the terms Annex 1 and Annex II/non-Annex 1 Parties to the UNFCCC. These terms are used interchangeably throughout the Convention and the decisions that elaborate reporting guidance for Parties. It is only under the Paris Agreement that it is established that only the terms developed/developing should be used where distinctions are made.

Parties also adopted detailed guidelines for inventory reporting under Decision 3/CP.5. The guidelines explain which gases Parties must report on, which methodologies to use (e.g. IPCC global warming potentials), and how to do estimates and calculations. In addition to keeping a national inventory (containing mainly quantitative information housed in common reporting format tables), Annex I Parties must submit a national inventory report containing detailed and complete information on their inventories for all years from the base year to the year of the current annual inventory submission. This is aimed at ensuring the transparency of the underlying assumptions and calculations of the reported emission estimates in the inventory.

Since these initial Decisions and guidelines were adopted, several updates have been made to increase transparency and improve the reporting processes. These include a further requirement for developed country (Annex I and Annex II) Parties to submit **biennial reports (BRs)**, and for developing country Parties to submit **biennial update reports (BURs)** consistent with their capabilities and the level of support provided for reporting, as set out in decision 1/CP.16 and further developed in decision 2/CP.17. These reports must include a national inventory report and information on mitigation actions, needs and support received, with special flexibility for SIDS and LDCs. These additional reporting requirements were accompanied by the further development of the review processes for reports submitted by developed and developing countries.

The guidelines for BRs require each developed country to submit information on its greenhouse gas inventory and national inventory arrangements, its quantified emission reduction target

and related progress and achievement, and provision of support, capacity building, technology transfer and finance. For BURs by developing countries, the guidance provides much more flexibility on what information is submitted and which methodologies can be used and also provides scope for including information on capacity gaps and constraints.

As at 27 May 2019<sup>5</sup> of the 43 Annex 1 Parties to the Convention, all of them<sup>6</sup> had submitted a greenhouse gas inventory containing their common reporting format tables as required in the reporting guidance outlined above. As at October 2020, 40 Annex 1 Parties<sup>7</sup> had submitted their 4th Biennial Report containing their national communications to the Secretariat in accordance with guidance<sup>8</sup> agreed at COP 17. For BURs, the submission figures for developing countries are significantly lower as they are only encouraged and not mandated to submit BURs. By 25 October 2019, all Non-Annex 1 countries had submitted an initial national communication. National communication submission has fallen off significantly since that first round of reports. For example, as at November 2020, 82 Non-Annex 1 Parties had submitted a third national communication, but only 1 Non-Annex 1 Party had submitted its 6th report.<sup>9</sup>

<sup>5</sup> UNFCCC Report, <https://unfccc.int/sites/default/files/resource/AGI%202019.pdf>, accessed 8 December 2020

<sup>6</sup> Including Kazakhstan an Annex 1 Party to the Kyoto Protocol but a non-Annex 1 Party to the Convention for the purposes of the Convention

<sup>7</sup> UNFCCC 'Status of Submission and review of national communications and biennial reports' 30 October 2020. [https://unfccc.int/sites/default/files/resource/sbi2020\\_inf07.pdf](https://unfccc.int/sites/default/files/resource/sbi2020_inf07.pdf) Last accessed 8 December 2020

<sup>8</sup> UNFCCC Decision 2/CP.17 contained in document FCCC/CP/2011/9/Add.1 dated 15 March 2012, <https://unfccc.int/resource/docs/2011/cop17/eng/09a01.pdf> Last accessed 8 December 2020

<sup>9</sup> UNFCCC, "National Communication Submissions by non-Annex 1 Parties" available at <https://unfccc.int/non-annex-1-NCs> Last accessed on 9 December 2020

## 04. OVERVIEW OF RELEVANT UNFCCC PROCESSES cont'd

The above overview illustrates that there has been a moderate level of compliance with UNFCCC Guidance on national communications and related reports – national inventories, BRs and BURs. For developing country parties in particular, the availability of support for reporting would have played a key role in facilitating the preparation of reports. The importance of the additional assistance for developing countries was highlighted in decision 2/CP.17 where the difficulties faced by non-Annex I countries with reporting are acknowledged. In this decision developed country and Annex II Parties were encouraged to provide support in a timely manner to assist developing countries with submitting reports on time. It is also worth noting that the Consultative Group of Experts (CGE) was identified as having an important role in ‘facilitating technical advice and support for preparation and submission of the first BUR’ for non-Annex 1 Parties.

### 4.2. Processes to increase ambition

#### *The International Assessment and Review (IAR) process*

To review all of the information submitted by Parties in national reports explained above, the COP adopted, under Decision 2/CP.17, the modalities and procedures for the **international assessment and review (IAR) process** to review reports from developed country Parties and an **international consultation and analysis (ICA) process** for BURs submitted by developing country parties.

In accordance with decision 1/CP.16 the IAR process was established for the “international assessment of emissions and removals related to quantified economy-wide emission reduction targets under the Subsidiary Body for Implementation, taking into account national circumstances, in a rigorous, robust and transparent manner, with a view to promoting comparability and building confidence”. Decision 2/CP.17 further recognised that the process should “promote the comparability of efforts among all developed country Parties, including in relation to their quantified economy-wide emission limitation and reduction targets”.

The IAR process includes:

- 01. A technical review** of greenhouse gas (GHG) inventories, biennial reports and national communications of developed country Parties, which results in an individual review report for each developed country Party.

During this part of the IAR process, a technical expert review team would examine the consistency of a Party’s annual GHG inventory with the biennial report and national communication. Parties have an opportunity to respond to the questions or suggestions of the expert review team and provide additional information or views. The output would be a review report based on existing reporting standards that would provide a comprehensive technical assessment of the implementation of the Convention by the relevant Annex 1 Party, including an examination of the Party’s progress in achieving its economy-wide emission reduction target.

The review process itself is built on open communication between the review teams and the Party being

reviewed. In most cases recommendations of review teams are taken on board by the Party.

There is at present no mechanism under the Convention to address non-implementation by parties of recommendations from a technical review, or persistent problems identified in subsequent review processes. By and large the review process is seen as a valuable opportunity for Parties to share lessons learned in implementing reporting requirements under the Convention and to also improve their national inventory systems, enhance their capacity to prepare reports and to respond to UNFCCC guidance over time.

**02. A multilateral assessment** of developed country Parties' progress in implementation towards the achievement of their emission reduction targets.

Parties agreed in decision 2/CP.17 that the outputs of the multilateral assessment would comprise, for each Party:

01. a record prepared by the UNFCCC Secretariat, which would include in-depth review reports (based on the Party's technical review reports and reports submitted);
02. a summary report of the Subsidiary Body for Implementation (SBI);
03. questions submitted by Parties and responses provided; and
04. any other observations of the Party under review that are submitted within two months of the working group session of the SBI.

All Annex 1 Parties to the Convention have undergone multilateral assessment for the current cycle<sup>10</sup> with the exception of Turkey that does not have in place an economy wide emissions reduction target for 2020.

There has not been an official assessment of whether the IAR process has contributed to an improvement in reporting among developed countries. However, at the very least, reviews and the multilateral assessment provide a substantial amount of information for Parties to take into account at the national level, and usually involve the participation of domestic inventory experts. This creates an opportunity for domestic experts to be directly influenced by, and to gain experience from, the international process. It is a key feature of the transparency system that promotes capacity building and improvement over time.

#### *The International Consultation and Analysis (ICA) process*

Similar to the IAR, the **ICA process** aims to increase the transparency of mitigation actions and their effects, through **technical analysis** by a team of experts of the BURs submitted by developing country Parties. The technical analysis includes identifying, in consultation with the Party concerned, capacity-building needs for reporting and participation in the ICA process. It is worth noting that this process is focused on increasing the transparency of the mitigation actions and their effects, and specifically does not address the appropriateness of a Party's domestic policies and measures. The outcome is a summary report on which Parties can comment before finalisation by the team of technical experts (Annex IV, Decision 2/CP.17). The second step of the ICA process is a **facilitative sharing of views (FSV)** among Parties, which is organized in the form of a workshop under the SBI and with inputs being the relevant Party's BUR and summary report from the technical analysis.

<sup>10</sup> Decision 2/CP.17 set out that developed country Parties should submit their first report by 1 January 2014 and their second and subsequent reports 2 years after the due date of a full national communication. Multilateral assessment of Biennial Reports began two months after the submission of the first round of biennial reports by developed country Parties in 2014. The fourth cycle of multilateral assessment was therefore underway from 2020.

#### 04. OVERVIEW OF RELEVANT UNFCCC PROCESSES cont'd

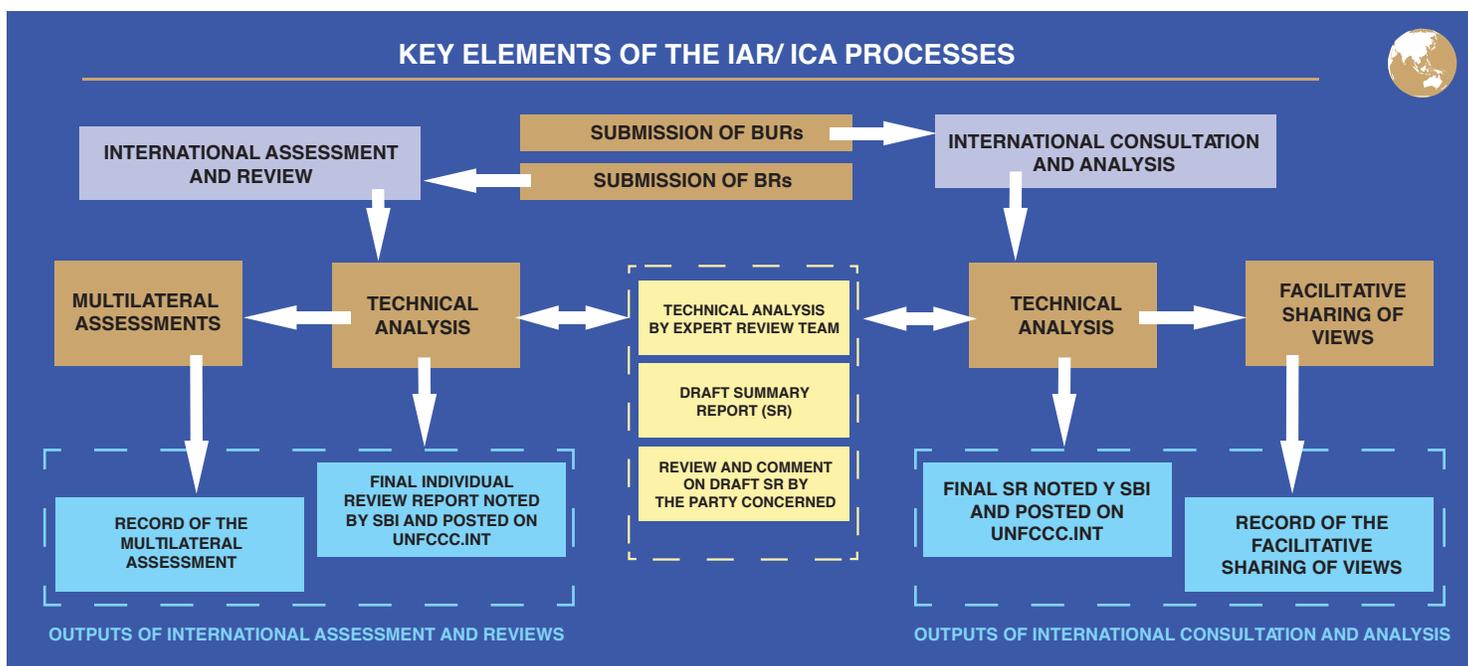
The ICA has now completed its third cycle<sup>11</sup> with seven Non-Annex 1 countries participating in the FSV process to date. Similar to the IAR process, the ICA provides the opportunity for domestic experts from Non-Annex 1 countries to participate directly and build capacity and expertise through engagement in the international process. The outcome of the overall ICA is a summary report and a record of the facilitative sharing of views.

As noted in BRs and BURs of the Parties being considered, participation in the review process has contributed to the improvement of the national systems for reporting under the UNFCCC.

As set out above, the reporting requirements under the Convention will be superseded by the ETF established under the Paris Agreement and elaborated in its modalities, procedures and guidelines adopted in decision 18/CMA.1. However, these new arrangements build upon the transparency regime under the Convention and

also include many of the successful elements, such as technical expert reviews and a process for the facilitative multilateral consideration of progress. The most significant way in which the ETF departs from the Convention arrangements is with the establishment of one common regime for both developed and developing countries<sup>12</sup> as opposed to the bifurcated regime that existed under the Convention.

The ETF will play an important role in the provision of information for future Global Stocktakes. It is expected that Party experiences with the Convention transparency regime will have contributed to capacity building for their participation in the ETF. This may also be an important indicator in relation to Parties' capacity to respond to the outcome of the GST as a result of improved institutional arrangements and technical capacity, as well as higher levels of political buy-in and responsiveness to the international regime at the national level.



<sup>11</sup> UNFCCC, 'International Consultation and Analysis – Outcome Cycle 3', available at <https://unfccc.int/ICA-cycle3> Last accessed on 10 December 2020

### 4.3 Nationally Determined Contributions and the Talanoa Dialogue

#### Nationally Determined Contributions

More recent examples of UNFCCC decisions (taken in the context of the Paris Agreement) that require action from Parties include those relating to NDCs and the Talanoa Dialogue.

With the adoption of the Paris Agreement (PA) (Decision 1/CP.21), each Party to the PA is required to prepare, communicate and maintain successive NDCs that it intends to achieve (PA, Article 4.2). Article 4 of the PA provides obligations and initial guidance on development of NDCs including but not limited to:

- That each Party's successive NDC will represent a progression beyond the Party's then current NDC and reflect its highest possible ambition, reflecting its common but differentiated responsibilities and respective capabilities, in the light of different national circumstances (PA, Article 4.3).
- Parties shall provide the information necessary for clarity, transparency and understanding in accordance with UNFCCC decisions (PA, Article 4.8).
- Parties shall communicate a NDC every 5 years and be informed by the Global Stocktake process (PA, Article 4.9).
- A Party can update its NDC at any time with a view to increasing its ambition.

Further guidance on the information to be communicated with Parties' NDCs was agreed at COP 24 in 2018 (Decision 4/CMA.1) and provides that, in communicating their second and subsequent NDCs, Parties shall provide 'the information necessary for clarity, transparency

and understanding contained in annex 1 [of Decision 4/CMA.1] as applicable to their nationally determined contributions...' - informally referred to as "ICTU" guidance. As Parties communicate new NDCs, they have an obligation to apply this guidance.

As of 15 January 2021, all 188 Parties to the Paris Agreement had submitted a first NDC and 35 Parties, plus the EU 27, have officially submitted a second NDC to the UNFCCC. Of the countries participating in this study, four<sup>13</sup> (4) have submitted a new or updated NDC and all four (4) have utilised the "ICTU" guidance set out in decision 4/CMA.1.

ICTU guidance provided Parties with a framework for the submission of their NDCs and clarified the information to be communicated. Although extremely valuable in this regard, in practice this guidance still leaves room for interpretation by Parties in many areas as it relates to information to be communicated with an NDC. Many institutions are therefore involved in the effort to assist Parties with NDC preparation - the NDC Partnership Climate Action Enhancement Package (CAEP) initiative is one example of this. In the course of this work these institutions have played an important role in explaining the application of the ICTU guidance in the preparation of NDCs and assisting Parties with gathering the relevant information for their submissions. This experience is potentially instructive in terms of the type of role a third-Party institution could play in assisting Parties to understand and respond to the GST outcome. Importantly, the CAEP initiative also provides relevant funding to Parties to undertake NDC updating work.

<sup>12</sup> With flexibilities for SIDS and LDCs and in relation to specific guidelines for 'those developing country Parties that need it in the light of their capacities' paragraph 6 Annex, Decision 18/CMA.

<sup>13</sup> Chile, Germany (as part of the EU) Jamaica and Nepal have submitted new or updated NDCs.

## 04. OVERVIEW OF RELEVANT UNFCCC PROCESSES *cont'd*

### *Talanoa Dialogue*

Under the decision that adopted the Paris Agreement in 2015 (Decision 1/CP.21, paragraph 20), the COP agreed to convene a facilitative dialogue among Parties in 2018 to take stock of the collective efforts of Parties in relation to progress towards the long-term mitigation goal referred to in Article 4, paragraph 1, of the PA and to inform the preparation of NDCs. The facilitative dialogue was re-branded the “Talanoa Dialogue” (TD) under the Fiji Presidency at COP23.

Decision 1/CP.23 outlined the design of the TD and detailed its preparatory and political phases, with the preparatory phase intended to build a strong evidence-based foundation for the political phase. The TD, was structured around three main questions: (1) “Where are we?” (2) “Where do we want to go?” and (3) “How do we get there?”

Guidance provided to entities in preparing for the TD encouraged Parties, stakeholders and expert institutions to prepare analytical and policy relevant inputs and there were a range of other inputs to the TD including the IPCC Special Report on global warming of 1.5°C and inputs from other UNFCCC bodies. COP24 in 2018 invited Parties to consider “the outcome, inputs and outputs” of the TD in preparing their NDCs and in their efforts to enhance pre-2020 implementation and ambition (1/CP.24, paragraph 37).

Parties responded to the TD by making submissions in both their national capacities as well as in the context of regional or other ad hoc groups<sup>14</sup>. In one instance a Party<sup>15</sup> also made a joint submission with national civil society. In total there were about 89 submissions by Parties, and groups of Parties, across the three questions posed. These inputs from Parties were dwarfed

by the overwhelming number of inputs to the process from Non-State Actors.

As the TD was in a sense a precursor to the first GST in 2023 (albeit with a mitigation-focus rather than the broader implementation focus of the GST), there is an opportunity to apply lessons from it to the GST. The survey results discussed in the next section of this report indicate that the outcome of the Talanoa Dialogue had some very limited direct impact on Parties in terms of influencing the level of ambition in new and updated NDCs submitted in 2020. Nevertheless, and based on the survey responses from the Parties studied, there is evidence that the Talanoa Dialogue may have exerted some but very limited indirect influence on domestic processes, both from a procedural as well as a substantive standpoint.

<sup>14</sup> CARICOM, AILAC and the Environmental Integrity Group (EIG) made a joint submission on the Talanoa Dialogue. There was also a submission by Switzerland Costa Rica, Finland, New Zealand and Sweden supported by Monaco.

<sup>15</sup> Colombia made a joint government and civil society groups submission

## 05. SUMMARY OF COUNTRY FINDINGS

Detailed case studies were developed for six countries selected to reflect different levels of economic development, different governance typologies, different greenhouse gas emission levels, and a wide geographic spread with regional balance. These six countries were Burkina Faso, Chile, Germany, Jamaica, Nepal and Samoa.

This section presents a summary of the key findings for each of these six countries as a framing for the discussion of the main research findings. The in-depth case study reports for the six countries are contained in **Appendix 2**.



## 05. SUMMARY OF COUNTRY FINDINGS



**Burkina Faso** is a landlocked and Least Developed Country (LDC) located in the middle of West Africa and has a population of 20.321 million with a Gross Domestic Product (GDP) of US\$15.378 million.<sup>16</sup> In 2019, Burkina Faso was positioned at 182 out of 189 countries and territories on the UNDP Human Development Index. However, Burkina Faso has made significant progress in growth and poverty reduction over the past 15 years. Between 2000 and 2017, Burkina Faso consistently recorded high growth rates with an average of 6.2 percent and a median of 5.9 percent—the highest in West Africa and among the top 10 performers in Sub-Saharan Africa. The recent growth performance was driven by pro-poor sectors such as agriculture, (artisanal) mining and construction<sup>17</sup>.

Burkina Faso has actively participated in the UNFCCC process since its inception and has developed and submitted to the UNFCCC a number of policy and strategy documents on the topic of climate change. In 2001, the country submitted its first National Communication and subsequently submitted a second National Communication in 2014. The country also submitted a NDC under the Paris Agreement in 2016.

Institutionally, a Permanent Secretariat of the National Council for Management of the Environment (SP/CONAGECE) was tasked with addressing climate change issues. This will subsequently be transformed to the National Council for the Environment and Sustainable Development (SP/CONEDD) with expanded responsibilities.

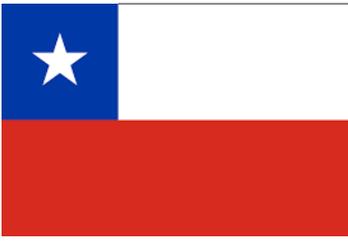
The country has also established an Inter-Ministerial Committee to Implement the Actions of the United Nations Framework Convention on Climate Change (IMCIAC). Policy wise, guiding climate change documents include the NDC, a National Adaptation Plan (NAP) and a National Sustainable Development Policy.

Burkina Faso has managed its continuing active participation in the UNFCCC process, despite significant human resource and capacity constraints, which include a shortage of qualified people that understand the UNFCCC process and challenges with data collection for UNFCCC reporting processes. Regardless, the country has dedicated much time and effort to the UNFCCC process at both the international and national levels. Burkina Faso's institutional arrangements hold significant potential for integration of UNFCCC guidance into its national processes but there is a need for institutional strengthening to ensure that UNFCCC guidance and decisions are integrated into national policies.

External support has been critical in the country's incorporation of guidance from the UNFCCC process and there is need for capacity building to facilitate enhanced incorporation of UNFCCC guidance at the national and local levels. Initiatives and systems for monitoring, reporting and verification of data at the national level to fulfil UNFCCC reporting requirements and also to track the incorporation of UNFCCC guidance into national processes will also benefit Burkina Faso's participation in the Global Stocktake process. *See full results of country findings in Appendix 2.*

<sup>16</sup> <https://unctadstat.unctad.org/CountryProfile/GeneralProfile/en-GB/854/index.html>

<sup>17</sup> [Creating Markets in Burkina Faso – Growing Burkina Faso's Private Sector and Harnessing it to Bolster Economic Resilience](#)



**Chile** is a high-income developing country that occupies a total land area of 2,006,096 km<sup>2</sup> including Easter Island in the South Pacific Ocean and extending southward towards Antarctica. The Chilean climate is characterised as temperate although there are variations throughout the country. Major climate related problems include drought and “mega-drought” as well as increasingly extreme rainfall events and flooding.

Chile has been an active member of the UNFCCC since it joined in 1994. It is up to date with the submission of its national reports and is one of only 4 countries and the EU that is considered to have submitted an enhanced NDC target in 2020<sup>18</sup>. The Chilean institutional structure for implementation of climate change actions is extensive and includes actors/bodies at the regional and local levels, as well as the private sector.

As a result of its responsiveness to the UNFCCC process, with the submission of reports and its overall participation, Chile can be considered a model for compliance with the international climate change regime. In this context it is significant that its survey responses stressed the importance of additional support and training for translating GST outcomes into the national context.

As both an OECD country and a non-Annex 1 country, the Chilean approach to the implementation of guidance from the UNFCCC features elements common to both developed and developing countries. Whereas the legislative and policy

framework for delivering climate outcomes is dense, there is still a reliance on capacity building mechanisms to support implementation. Resource and capacity constraints are also still a factor in the Chilean application of UNFCCC guidance<sup>19</sup>.

Additional factors that facilitate incorporation of UNFCCC guidance into national processes include political buy-in at the highest levels. The Chilean institutional set up includes mechanisms that feed in information concerning developments in international negotiations, as well as guidance on domestic climate policy to the highest levels of government. This undoubtedly plays a role in the Chilean responsiveness to the UNFCCC process and its obligations.

For the purpose of the GST, countries like Chile – high income developing countries, that have participated proactively in the UNFCCC context with corresponding outcomes at the domestic level – would likely benefit greatly from the organisation of a post GST exercise led by the Secretariat or trustworthy third-party, to further explain the implications of the outcome for facilitating domestic implementation. *See full results of country findings in Appendix 2*

<sup>18</sup> Climate Action Tracker rating access at <https://climateactiontracker.org/climate-target-update-tracker/> Last accessed on 25 January 2021

<sup>19</sup> Op Cit, p. 23 [https://unfccc.int/sites/default/files/resource/5769410\\_Chile-BUR3-1-Chile\\_3BUR\\_English.pdf](https://unfccc.int/sites/default/files/resource/5769410_Chile-BUR3-1-Chile_3BUR_English.pdf) Last accessed January 2021

## 05. SUMMARY OF COUNTRY FINDINGS



**The Federal Republic of Germany** is a highly industrialised country, with the fourth largest economy in the world ranked by nominal GDP (2019). Gross Domestic Product in 2019 was 3,449B EURs, and per capita income was 41,508 EUR<sup>20</sup>. The main economic sectors are vehicle and machinery manufacturing, food and chemical industries. Germany was the sixth largest emitter of greenhouse gases in the world in 2018.

Germany has been implementing UNFCCC guidance since ratifying the UNFCCC in December 1993. These have included Annual National Inventory Reports since 1994; National Communications every four years; and Biennial Reports every two years. It is up to date on these commitments and submitted its latest National Inventory Report (NIR 2020) on 15 April 2020<sup>21</sup>, its Seventh National Communication on 20 December 2017<sup>22</sup> and Fourth Biennial Report on 20 December 2019. Germany's also exercises the option of participating in the UNFCCC as a member of the European Union (EU) and the EU's first NDC in 2015/2016 and its updated NDC in December 2020 have been submitted as part of the EU burden sharing arrangements.

Germany has in place structured institutional processes for implementation of UNFCCC guidance. These processes identify responsible agencies, as appropriate, and specify the role of these agencies in the implementation process.

The processes for implementation of Guidance that are deemed to be of a general nature and express aspirations rather than finite plans<sup>23</sup> are not as rigorous as those in place for implementation of technical guidance. These might enter domestic processes through the government's internal reporting from the COP, as well as through discussion in media reports and among the general public.

Notwithstanding, the potential for use of guidance coming out of the GST is very high, provided that the guidance is clear with specific deadlines and process provisions and that a large number of countries have committed to its implementation.

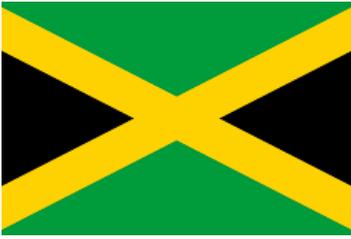
*See full results of country findings in Appendix 2*

<sup>20</sup> Multilateral Assessment, Presentation by Germany, November 2020

<sup>21</sup> <https://unfccc.int/ghg-inventories-annex-i-parties/2020>

<sup>22</sup> <https://unfccc.int/NC7>

<sup>23</sup> Examples of these can be found in Decision 3/CP.25 Enhanced Lima work programme on gender and its gender action plan; and in Decision 1/CP.21 paragraphs on the relevance and contribution of non-state actors, the private sector and local communities.



**Jamaica**, a Small Island Developing State measuring approximately 10,990 square kilometers, with a population of 2.7 million and dependent on natural resources, is highly vulnerable to climate change, the impacts of which are already being experienced and constitute a major threat to Jamaica's growth and development strategy. Indeed, climate change has been deemed as an existential threat to Jamaica due to the country's geographical location, biophysical landscape, openness of the economy and dependence on imported merchandise.

Jamaica enjoys an upper middle income economy status despite its high vulnerability to climate change. Jamaica has been repeatedly negatively impacted by climate change since ratifying the Convention in 1995. Climate change impacts have constituted a drain on the socio-economic development of the country. In this regard, Jamaica has instituted reforms in its policy and institutional frameworks in order to address climate change and to fulfil its obligations under the Convention and the Paris Agreement.

Jamaica has been actively involved in the UNFCCC process from its inception and has committed extensive national capital and other resources despite limited fiscal space to fulfil the obligations under the Convention and Paris the Agreement.

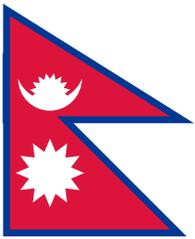
Jamaica has the requisite institutional framework and capacity to fully implement relevant recommendations from the GST process.

There are however some factors that can enhance participation in the GST and implementation of its outcomes and outputs, including enhancing the potential for the use of GST results for raising ambition and enhancing implementation. These include the following:

- Elaboration of a targeted institutional strengthening and capacity building programme focusing on promoting technical capacity, data management and institutional collaboration.
- Expansion of pool of nationals to be immersed into the UNFCCC process and to maintain the momentum for urgent and ambitious actions on the national and regional levels.
- Mainstreaming climate change actions in regional and national policies and programmes through focused leadership at all levels of society.
- Elaboration of a comprehensive and continuous education, public awareness and outreach with inclusive and engaging whole of society approaches.
- Demonstration of the expressed linkages between ambitious climate action emanating from UNFCCC processes and national socio-economic development.
- Determining, mobilising and implementing the financing capacity geared to enhance understanding, participation and involvement of nationals in the UNFCCC processes and to implement COP decisions.

*See full results of country findings in Appendix 2*

## 05. SUMMARY OF COUNTRY FINDINGS



**Nepal** is a mountainous land-locked and Least Developed Country (LDC) with a population of nearly 30 million in 2020<sup>24</sup> and GDP per capita of US \$817.78 in 2018<sup>25</sup>. The country's greenhouse gas (GHG) emissions profile is relatively low (below 0.1 percent of total global emissions), but the country is at high-risk due to the country's fragile topography, the climate-sensitive livelihoods of the people and limited adaptive capacity. Nepal has seen an increase in frequency of soil erosion, landslides, flash floods, and droughts and is a home for numerous glaciers and glacial lakes; a potential hazard given these glacial lakes can suddenly burst leading to floods downstream at any time in future.

Nepal's poverty is said to be gradually decreasing over the years; the population below the absolute poverty line has decreased from 25.2% in 2011 to 16.67% in 2020<sup>26</sup>. Nepal faces various socioeconomic challenges including high rates of poverty, illiteracy and gender inequality that can amplify the impacts of climate change. Agriculture is the main economic activity, contributing about one third of the Gross Domestic Product (GDP) and engages two-thirds of the nation's work force<sup>27</sup>.

Nepal has established a Climate Change Management Division and a Reducing Emissions from Deforestation and Degradation (REDD) Implementation Centre under the Ministry of Forests and Environment. Both Divisions focus on implementation of the relevant UNFCCC provisions<sup>28</sup>.

For high-level policy guidance, Nepal has an Environment and Climate Change Council chaired by the Prime Minister, and Inter-Ministerial Coordination Committee on Climate Change (IMCCCC) chaired by Secretary of the concerned ministry.

Nepal has actively participated in the UNFCCC process since 1992, and has submitted two National Communications, a National Adaptation Programme of Action (NAPA), a Nationally Determined Contribution (NDC) as well as a second NDC in 2020. Nepal is also working on a long-term low greenhouse gas emission development strategy to be completed by 2021.

With some of the institutional arrangements in place to integrate UNFCCC guidance into national processes, there is significant potential for uptake of GST outputs in Nepal. Despite facing some capacity constraints and some reliance on external support with regard to the UNFCCC process, Nepal has been very active in the UNFCCC and has been able to develop climate change plans and policies on the national level using guidance from the UNFCCC. At the national level, the incorporating outcomes from the GST process might benefit from streamlining of existing institutional arrangements to allow for better coordination as it relates to integration of UNFCCC guidance, improvements in access to data and mechanisms for data collection and capacity building.

*See full results of country findings in Appendix 2*

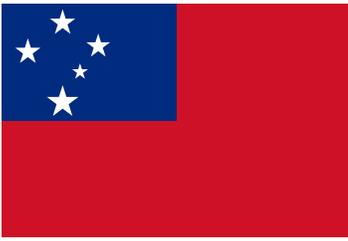
<sup>24</sup> Estimated population for 2020. Population projection by the Central Bureau of Statistic, Nepal

<sup>25</sup> Macroeconomic Indicators, World Bank, 2019

<sup>26</sup> [Economic Survey 2019/20, Ministry of Finance, Nepal](#)

<sup>27</sup> [Nepal's 2nd National Communication](#)

<sup>28</sup> [Nepal's NDC](#)



**Samoa**, a Small Island Developing State of volcanic origin in the South Pacific, measuring approximately 2,900 square kilometers, with a 2020 population of approximately 198,000 and dependent on natural resources, is highly vulnerable to climate change. Climate change impacts are already being experienced and constitute a major threat to national development and impacts negatively on the socio-economic development prospects of the country.

Samoa is classified as a Least Developed Country and climate change impacts negatively on the socio-economic development prospects of the country. Samoa is traditionally a low carbon emitting economy and is indeed a net sink for carbon emissions. Samoa has ratified all instruments under the UNFCCC in a timely manner and has demonstrated its fullest commitment to achieve the objectives of the Convention and the Paris Agreement. Climate change impacts are recognised as the key vulnerability issues facing Samoa.

Samoa has established an appropriate policy framework for climate action and the national institutional framework is bolstered by several regional programmes and initiatives that Samoa has signed onto to support its efforts at addressing climate change. Climate change has been deemed as an existential threat to Samoa so the national responses to UNFCCC decisions have been swift and Samoa has actively participated in the Convention processes.

Samoa has demonstrated the commitment and has the basic mechanisms in place to implement the relevant recommendations from the GST results for raising ambition and enhancing implementation. These include the following:

- Elaboration of a targeted institutional strengthening and capacity building programme focusing on promoting technical capacity, data management and institutional collaboration.
- Expansion of pool of nationals to be immersed into the UNFCCC process and to maintain the momentum for urgent and ambitious actions on the national and regional levels.
- Mainstreaming climate change actions in regional and national policies and programmes through focused leadership at all levels of society.
- Elaboration of a comprehensive and continuous education, public awareness and outreach with inclusive and engaging whole of society approaches.
- Demonstration of the expressed linkages between ambitious climate action emanating from UNFCCC processes and national socio-economic development.
- Determining, mobilising and implementing the financing capacity geared to enhance understanding, participation and involvement of nationals in the UNFCCC processes and to implement COP decisions.

*See full results of country findings in Appendix 2*

# 06. PRESENTATION OF RESULTS

## 6.1. Use of UNFCCC guidance

All the Parties that responded to the survey are impacted by climate change and have initiated domestic strategies to respond to climate change. This has included the development of specific national climate change policy frameworks in all countries and the setting up of some forms of institutional arrangements with a specific mandate to address climate change at the domestic level and to facilitate participation in the UNFCCC and other international processes.

These arrangements have incorporated use of UNFCCC guidance on reporting and other mandates in a variety of ways, with the level of structure and formalisation of these processes varying depending on development status. Countries like Germany and Chile have highly structured processes for responding to UNFCCC guidance at the domestic level, while the LDCs and SIDS have less formalised processes.

The German system provides for technical guidance to be routed to a Specialist Agency which has the mandate to work on these technical matters. The responses to aspirational guidance are initiated through the internal reporting processes and are influenced in part by internal advocacy and by media reporting. Guidance that relates specifically to UNFCCC participation, e.g. updating of NDCs, is taken up at the level of the EU Negotiating Team, with domestic support as necessary.

Chile also has a highly structured institutional setup that coordinates at regional and at the central level straight to the office of the President. This set up includes a permanent advisory climate change commission that supports the office of the President, a Ministerial Council for Sustainability, a dedicated climate change office in the Ministry of the Environment and an Inter-Ministerial Technical Team on Climate Change. This is complemented and supported by the following organisations which have specific roles, viz:

- Chile's technical team for monitoring reporting and verification: consists of 9 public sector institutions focused on encouraging communication and interaction among the different entities involved in report preparation.
- The Ministry of Foreign Affairs: Directorate of Environment and Ocean Affairs and Chilean focal point for the UNFCCC.
- The Ministry of Finance: Designated National Authority to the Green Climate Fund.
- The Ministry of Energy: Develops plans and policies for the energy sector and prepares the inventory of GHG emissions.
- The Ministry of Agriculture: Agricultural studies and policies office advises the Minister on climate change policies for the agricultural sector.

In contrast to this, the LDCs and SIDS have less formal and structured processes in place. Burkina Faso, for example, convenes post-COP workshops for relevant actors and invites them to take the guidance into consideration at the national and sectoral levels. However, they do not have any mechanisms in place to monitor whether or not this is being done. Jamaica has a similar approach, wherein stakeholders are introduced to the guidance, either through direct participation at the COP, or in post-COP Debriefing sessions. However, the institutional setup did not have the capacity to follow-up and ensure compliance by all actors. Samoa and Nepal incorporate the new guidance into policy documents and national plans and leave it up to the focal points in each sector to implement. Some countries also referenced events at the national level by non-state actors and noted that these had limited results due to lack of support from government.

The foregoing indicates that there are measures in place in each country to ensure that UNFCCC guidance eventually reaches the policy level persons in each of the participating countries. However, the extent to which it is used varies depending on the institutional structures in place and other local factors which will be explored in the rest of this report.

## 6.2. Challenges in the use of UNFCCC guidance

All the respondents to the survey indicated some form of compliance with UNFCCC reporting requirements as indicated below:

COUNTRY	1st NDC	UPDATED NDC	NAPA	NAMA	NC SUBMISSIONS	BR/BUR	LT-LEDS	ICA/IAR	MA/FSV	TD
GERMANY	✓	✓	N.A.	N.A.	7	✓	✓	✓	✓	✓
CHILE	✓	✓	N.A.	✓	3	✓	✓	✓	✓	✓
BURKINA FASO	✓	⚙️	✓	✓	2	✓	✗	✗	✗	✓
NEPAL	✓	✓	✓	✓	2	✗	⚙️	✗	✗	✓
SAMOA	✓	⚙️	✓	✓	2	✗	⚙️	✓	✓	✓
JAMAICA	✓	✓	N.A.	✓	3	✓	⚙️	✓	✓	✓

SUBMITTED   
 NOT SUBMITTED   
 IN PROGRESS   
 N.A. NOT APPLICABLE

All the participating Parties have submitted required reports though not at the same level of frequency, especially given the flexibilities available for the LDCs and SIDS. These reports have required utilisation of technical guidance for National Communications from the UNFCCC and IPCC, as well as guidance for NAPs and NAPAs, as appropriate. Parties have also reported using the ICTU Guidance for the updating/revising of their NDCs in 2020/21 and having participated in the Talanoa Dialogue process.

Notwithstanding, a number of challenges have been encountered in the use of the Guidance by all of the participating countries.

## 06. PRESENTATION OF RESULTS cont'd

Common to all the countries was the feedback that some of the guidance was sometimes unclear and very general. This left it open for interpretation at the local level and in such cases increased the likelihood that guidance would be ignored. It was also noted that the extent of support for the guidance was an influencing factor, and that demonstrated support from a large number of Parties facilitated acceptance and implementation at the national level.

Additional challenges that were experienced by the LDCs and SIDs included:

- **Lack of understanding of the guidance.** This occurred in some cases as a result of the guidance being new, and therefore subject to interpretation.
- **Under-developed institutional arrangements.** The institutional arrangements described above are primarily at the policy development level and do not provide for follow-up and implementation where technical implementation capacity is required.
- **Lack of local human capacity to interpret and implement the guidance.** Some of this guidance was technical in nature e.g. IPCC Guidance on inventories, and the countries did not have personnel who were trained in these areas.
- **Absence of required inputs** e.g. data. Many of these countries do not have a history of data management and the data required for some of the reporting and participation requirements simply does not exist in these countries.

### 6.3. Factors that facilitated the use of UNFCCC guidance

Despite these challenges, all of the participating countries have been able to implement the UNFCCC guidance to a greater or lesser extent. However, the quality of the compliance varied both in terms of the regularity of the reporting and the overall quality of the reports that were submitted.

This utilisation of the UNFCCC guidance has been facilitated by a number of factors, with some variation among countries. In the case of Germany, clarity of deadlines and process provisions were paramount, along with strong political communication concerning the need for implementing the guidance. For the developing countries, the facilitating factors included:

- Receipt of technical and financial support from third parties and external experts, and in the case of Chile, allocation of domestic budgetary lines to support the creation of permanent arrangements for UNFCCC compliance.
- Training and capacity building support that provided an understanding of the need for implementing the guidance and provided the skill sets that made it possible for local experts to engage.

Effective use of the media has also been cited as an important factor in facilitating compliance with the guidance. The media was identified as having a role in creating political conditions that encourage countries to follow guidance especially in

instances where that guidance may not be binding. The media was also mentioned as having a role with sensitisation and fostering buy-in for climate action at the national level. Examples were provided of the role played by the media by both developed and developing countries, including during the Talanoa Dialogue and in the development of the revised/updated NDCs.

The impact of the Talanoa Dialogue processes was also instructive. Respondents emphasised the value of the Talanoa Dialogue *process* over its *outcome* in relation to its impact on national processes. Interestingly, the Talanoa Dialogue process elements are still in use in some cases. In its supplementary responses one respondent mentioned the Talanoa Dialogue outcome as influential in setting the level of ambition for the revised/updated national NDC. Additionally, in one instance the Talanoa Dialogue process is credited with contributing to the discussion on ambition through enhancing the visibility of the IPCC SR1.5C.

#### **6.4. Additional factors that can facilitate use of UNFCCC guidance in national processes**

The survey respondents also identified a number of additional factors that could facilitate incorporation of UNFCCC guidance into national processes. These included:

- Securing political buy-in at the highest levels of government.
- Ensuring that the right stakeholders are involved, so that the desired information is received.

- Public education.
- Inclusion of the need to follow guidance in climate legislation. This could include automatic policy triggers to kick off the discussion on the updated target, e.g. by asking a scientific or political body to give a recommendation on the new climate target, based on the results of the global stocktake.
- Inclusive approaches that involved a wide range of stakeholders.
- Use of the national media for sensitisation and fostering buy-in for action at the national level.

## 06. PRESENTATION OF RESULTS cont'd

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### 6.5. Role of external support

The LDCs and SIDS deemed external support as being critical to their compliance with the UNFCCC guidance to date and as instrumental to enhancing their understanding of the guidance. They cited external technical as well as financial support for implementing COP guidance as playing a central role in allowing them to engage with and apply COP decisions. The role of third-party institutions in either translating or complementing available COP guidance for countries was also extremely prevalent. Examples were provided of the support received from regional arrangements in the Caribbean and Pacific, as well as through arrangements like the NDC Partnership and the CAEP.

It was recommended that this external support should continue into the GST, with a focus on the following:

- Supporting country participation in the GST processes
- Unpacking the guidance so that it could be understood at the local level.
- Development of simple tools to translate the guidance into practical solutions at the local level.
- Capacity building of local experts to implement the guidance.
- Sustainability of national institutions.

## 07. RESEARCH CONCLUSIONS

The research findings have highlighted the desire of the countries under study to respond to climate change at the national levels and to follow the mandates and guidance coming from the UNFCCC processes.

They have also shown that domestic incorporation of the COP guidance is influenced by a number of factors. These include:

01. The quality of the UNFCCC guidance, in terms of the clarity in relation to the relevant processes and required deadlines. This factor is enhanced where there is broad political support for the guidance.
02. The enabling environment at the domestic level, especially with regards to SIDS and LDCs:
  - The adequacy of the institutional framework in place.
  - The availability of human and technical capacity to interpret and implement the guidance.
  - Availability of relevant data and other technical information.
  - Availability of external support to interpret the guidance and provide technical resources. The role of the media in building awareness and understanding of the guidance and the need to implement it.

This indicates that while countries may be willing to implement the outputs from the first GST into the development of their NDCs in 2025, their ability to do so can be enhanced by addressing the constraining factors identified in this report. Recommendations for doing so are addressed in the following section.

## 08. ENHANCING THE DEVELOPMENT AND IMPLEMENTATION OF GST GUIDANCE

The GST outcome is mandated to include political messages, as well as recommendations for strengthening action and enhancing support related to the overall implementation of the PA.

The developing countries surveyed for this report have indicated that access to external support for capacity building and the strengthening of institutional processes will assist in enhancing their ability to interpret and implement the guidance coming from the GST.

The delivery of these areas of support does not all have to take place at the same time or be delivered by the same agency or institution. There are some aspects that need to be done in advance of the 2023 GST. Other aspects will need to be done in parallel with/as part of the GST processes, and/or after the completion of the GST.

### *8.1. Support in advance of GST*

The areas of support that are required in advance of the GST i.e. in the 2021 – 2023 period include those focused on national institutional and human capacity building. These will include:

- Training in understanding previous UNFCCC guidance and institutionalisation of processes to incorporate UNFCCC guidance into national decision-making. These areas will help to ensure that decisions taken on use of the guidance are followed up and that relevant national institutions are equipped to monitor the implementation and impact of the guidance. The support required could include technical training activities, design of organisational systems and processes, and strengthening of data and MRV systems.
- Leadership from senior officials at the national level, who could request support and collaboration from appropriate agencies and projects e.g. the CBIT and the NDC-Partnership.

### *8.2. Support in parallel with the GST processes*

The areas of support required in this category, during 2021 and 2023, are those that will assist countries in participating effectively in the GST, such as:

- Supporting countries to contribute inputs to the GST process, to participate in the GST Technical Assessment and to participate in the negotiations on the the guidance that will be included in the final COP and CMA Decisions.
- COP and CMA decisions that are as clear as possible on their requirements so that they can be easily understood and implemented.
- Support from the UNFCCC Secretariat, from within countries' negotiating blocs, and from other partners within the negotiating process and from international organisations equipped to provide on-demand technical support.

Effective participation by all countries is crucial in this stage to ensure that the outcomes and decisions taken, and guidance provided from the GST, are sensitive to national realities. Effective participation is one way of ensuring that this clarity is brought to the final UNFCCC guidance. The responsibility for effective participation will be in the hands of national officials, but they will benefit from guidance on the inputs required and the implications of proposals that are under discussion.

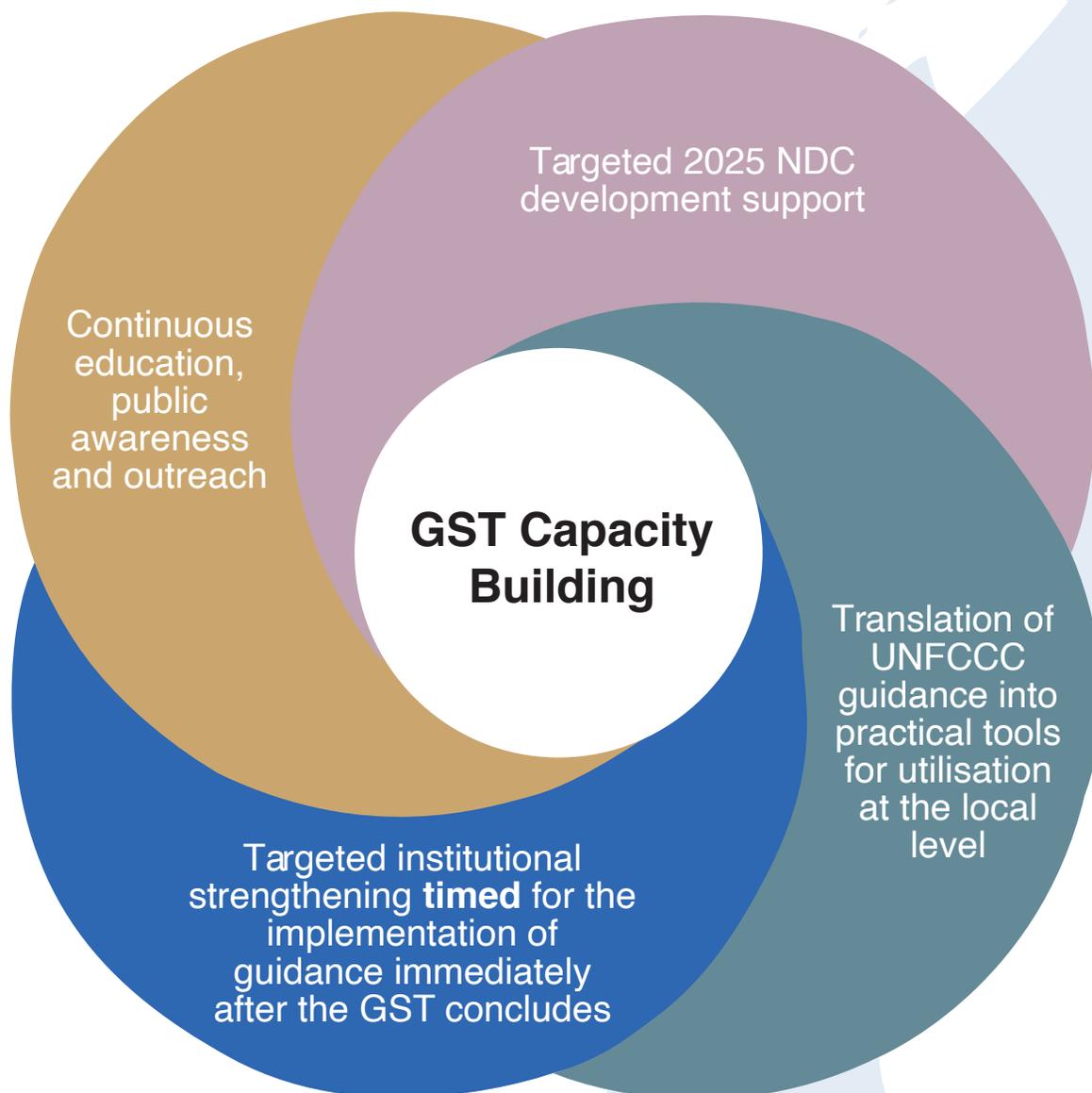
### **8.3. Support after the completion of the GST**

The support required in this period, between the end of the GST in 2023 and the submission of new NDCs by March 2025, will be focused on interpreting the guidance that comes out of the COP and CMA Decisions on the GST, unpacking the detailed requirements for implementing these decisions, designing national processes for preparing the NDC and implementing these processes to prepare the NDC in a timely fashion. A few recommendations in this regard are as follows:

- It will be important to translate the UNFCCC guidance from the GST outcome into simple, practical tools for utilisation at the local level. The UNFCCC guidance and decisions should be translated into an understandable format for local actors that will help to facilitate ease of incorporation into domestic processes.
- Support should be provided for building local capacity in implementing the guidance immediately after the GST concludes. This should include the elaboration of a targeted institutional strengthening and capacity building programme focusing on promoting technical capacity, data management, institutional collaboration, expansion of pool of nationals to be immersed into the UNFCCC process and maintaining the momentum for urgent and ambitious actions at the national level. This support can complement and build on the supports highlighted in Section 8.1. above.
- Countries should initiate comprehensive and continuous education, public awareness and outreach with an inclusive and engaging whole of society approach to demonstrate the expressed linkages between ambitious climate action emanating from UNFCCC processes and national socio-economic development. This could include extensive use of the media in fostering buy-in for climate action at the national level and provisions for inclusive, consultative stakeholder inputs into the 2025 NDC development processes.

The responsibility for accessing such support will be in the hands of the national governments. However, the experiences in 2020 with the revision of NDCs have highlighted the utility of the support provided by agencies like the NDC Partnership and the UNDP Climate Promise. Despite the capacity building that took place during this period, the need for such support will continue through to the next round of NDCs in 2025.

## Strategic Elements for GST Capacity Building in Developing Countries



## 09. RECOMMENDATIONS FOR iGST

The iGST is not an implementing entity and therefore will not be in a position to provide specific technical supports to countries along the lines described in the preceding section.

However, its focus on analysis and advocacy and its objective of increasing the accuracy, transparency, accountability, and relevance of the GST, provides it with a platform from which it can:

- Raise awareness of the need for the provision of support to developing countries in building capacity to engage effectively in the GST processes and the implementation of its outcomes;
- Advocate on key issues e.g. on the quality of the GST outcome and related guidance for the preparation of the 2025 NDCs; on the need for clear and precise guidance from the UNFCCC on all the GST outcomes, including with respect to the preparation of the 2025 NDCs; and on the need for the translation of UNFCCC guidance from the GST outcome into simple, practical tools for utilisation at the local level;
- Support inclusive, consultative stakeholder inputs into the 2025 NDC development processes.

The iGST can therefore play a critical role by signaling the need for such support and encouraging members of the iGST and their wider networks, who are in a position to do so, to partner with developing countries or related regional organisations to develop support programs in specific areas of expertise targeted at these countries. As noted earlier, the NDC-Partnership and the UNDP Climate Promise have shown the progress that can be achieved through such an approach.

The iGST could also review draft GST outcome documents and make recommendations through its members on ways in which outcomes can be strengthened to improve clarity and ease of use.

Through activities like these the iGST can assist in ensuring that the guidance is understood and that countries have the capacities to deliver more ambitious 2025 NDCs.

# APPENDIX 1 - RESEARCH QUESTIONS

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- 01** How are COP decisions incorporated into national plans and processes in your country?
- 02** What guidance has your country used to develop and update its NDC in 2020? How has your country incorporated COP guidance, or any other guidance, in developing and updating your NDC in 2020?
- 03** To what extent did/does the Talanoa Dialogue impact your country's preparation of new, revised and updated NDCs in 2020?
- 04** What aspects of the Talanoa Dialogue, if any, were most useful in your domestic context and, why?
- 05** Have national processes effectively utilised guidance from the UNFCCC process? If so, how, and to what extent?
- 06** What factors have facilitated the use of the guidance from the UNFCCC processes?
- 07** What factors have hindered the use of the guidance from the UNFCCC processes?
- 08** What implications do you think these facilitating and hindering factors in Q6 and Q7 could have for your country's utilisation of the outputs from the GST in the development of new or updated NDCs in 2025?
- 09** What role, if any, does external support play in facilitating the use of guidance from UNFCCC processes in domestic plans and processes? How could this role be operationalised in practice?
- 10** How can your country tailor its national processes to ensure that the GST results and recommendations are included in the national plans and processes? This should address your new or updated NDC that will be prepared in 2025 following the completion of the GST in 2023.

# FOLLOW UP QUESTIONS

## Burkina Faso:

- 01** Request for further clarification on the process described in answer to question 1 (how COP decisions are incorporated nationally)
- 02** Request for examples and further clarification on question 2 (guidance used to develop NDC)
- 03** Further clarification on the process for the development of the national MRV system mentioned in answer to question 10
- 04** Additional question on whether there is an awareness at the national level of the specifics of the outcome of the Talanoa Dialogue.

## Chile:

- 01** Request for examples of specific COP guidance that has been implemented at the national level.
- 02** Request for further information in relation to the response to question 4 – how was the Head of State influenced by the Talanoa Dialogue?
- 03** Additional question on whether there is an awareness at the national level of the specifics of the outcome of the Talanoa Dialogue.

## Germany:

- 01** Request for examples of “Aspirational Guidance” mentioned in response to question 1.

## Jamaica:

- 01** Request for examples of specific COP guidance that has been implemented at the national level.
- 02** Additional question on whether there is an awareness at the national level of the specifics of the outcome of the Talanoa Dialogue.

## Nepal:

- 01** Request for clarification on the specific processes used to incorporate COP guidance at the national level in response to question 1. For example, is there a consultation process, is legislation or policy prepared, is it incorporated by Ministerial decree or cabinet decision?
- 02** Flowing on from question 1. Further clarification is requested in relation to how exactly national processes can be adapted (if necessary) to take into account the GST outcome.

## Samoa:

- 01** Request for specific examples of COP decisions in relation to question 1 (how are COP decisions incorporated into national plans)
- 02** Request for further clarification in relation to the response to question 3 (impact of Talanoa Dialogue on preparation of new NDCs)

# APPENDIX 2 - COUNTRY REPORTS



## CASE STUDY - BURKINA FASO

### 1. National circumstances

Burkina Faso, is a landlocked country and Least Developed Country (LDC) located in the middle of West Africa and has a population of 20.321 million with a Gross Domestic Product (GDP) of US\$15.378 million.<sup>1</sup>

#### 1.1 Climate change context

The country has three climatic zones: the Sahelian zone in the north receiving less than 600mm average annual rainfall; the north-Sudanian zone in the center receiving an average annual rainfall between 600 and 900mm; and the south-Sudanian zone in the south with an average annual rainfall in excess of 900mm.<sup>2</sup> Rainfall is variable and irregular and decreases from the south-west towards the North. The temperature is also very variable according to the seasons of the year.<sup>3</sup>

Temperatures are very high from March until September. The gradual disappearance of vegetation for various reasons (obtaining croplands, energetic and well-being needs, rudimentary farming practices) do not encourage a sustainable exploitation of natural resources. The degradation of vegetation canopies increases the fragility of the soil and facilitates the appearance of a surface crust which prevents the humidification of the soil and therefore prevents the new growth of woody or herbaceous vegetation.<sup>4</sup>

As one of the most vulnerable countries to climate change, Burkina Faso faces climate induced impacts and hazards such as very severe droughts which have harshly affected the population and the agricultural sector, which is one of the country's main economic sectors. Burkina Faso is prone to chronic drought, flash floods, wind storms, and disease outbreaks.<sup>5</sup>

Temperatures are projected to continue to increase, with the Intergovernmental Panel on Climate Change (IPCC) predicting mean annual temperature

increases ranging from 0.7 – 1.5°C by 2035 for western Africa. These increased temperatures could lead to great rates of evapotranspiration, which could amplify existing water shortages, and result in reduced crop production and less availability of pasture in a country that depends heavily on agriculture. Changes are also expected in precipitation levels, with the IPCC suggesting that mean annual rainfall for West Africa could increase by a median value of 1% by 2035 under a high-emissions scenario. Another study predicts greater length of dry spells for the future. However, uncertainty exists with respect to future rainfall predictions for West Africa due to high year-to-year variability in the region<sup>7</sup>.

#### 1.2 Socio-Economic context

Agriculture represents 60 % of employment and just over one-third of GDP and it is dominated by subsistence farming. Burkina Faso is one of the largest cotton producers in Africa. Apart from cotton, other traditional crops mainly include sorghum, small millet and maize, which account for 60 percent of agricultural output. In recent years, the gold mining sector has significantly expanded and now stands with cotton as one of the primary sources of foreign direct investment (FDI) into Burkina Faso<sup>8</sup>.

In 2019, Burkina Faso was positioned at 182 out of 189 countries and territories on the UNDP Human Development Index. The poverty rate at the international poverty line in 2014 was at 43.7%. However, Burkina Faso has made significant progress in growth and poverty reduction over the past 15 years. Between 2000 and 2017, Burkina Faso consistently recorded high growth rates with an average of 6.2 percent and a median of 5.9 percent—the highest in West Africa and among the top 10 performers in Sub-Saharan Africa. The recent growth performance was driven by pro-poor sectors such as agriculture, (artisanal) mining and construction<sup>9</sup>.

### 2. Institutional and Policy Framework

#### 2.1. Institutional Arrangements

To address and follow up on climate change issues, a Permanent Secretariat of the National Council for

Management of the Environment (SP/CONAGECE) was created within the ministry responsible for the environment and which will be subsequently transformed into the National Council for the Environment and Sustainable Development (SP/CONEDD) with expanded responsibilities.

In 1995, Burkina Faso established the Inter-Ministerial Committee to Implement the Actions of the United Nations Framework Convention on Climate Change (IMCIAC). This committee was fully involved in the preparation of the first National Communication on climate change.<sup>10</sup>

## 2.2. Policy framework

Burkina Faso has outlined its climate change priorities in its UNFCCC documents, including its Nationally Determined Contribution (NDC) and its National Adaptation Plan (NAP). With regard to overall development, the country developed and adopted a National Sustainable Development Policy (NSDP) accompanied by a law. The NSDP provides an effective framework for the Strategy for Accelerated Growth and Sustainable Development. Both this economic framework document, together with “Outlook Burkina 2025”, contribute to place the concept of sustainability at the heart of public action. These documents also plan to address sustainability at the level of activities of other non-state actors in a socioeconomic development drive that generates growth and fairly distributes revenues in the medium and long term in climatically high-vulnerability sectors.

## 3. UNFCCC participation and involvement

In 1993, Burkina Faso ratified the UNFCCC. Burkina Faso has developed and adopted a number of policy and strategy documents relating to climate change.

<sup>1</sup> <https://unctadstat.unctad.org/CountryProfile/GeneralProfile/en-GB/854/index.html>

<sup>2</sup> <https://www.adaptation-undp.org/explore/western-africa/burkina-faso>

<sup>3</sup> [Burkina Faso's 2nd National Communication](#)

<sup>4</sup> [Burkina Faso's 2nd National Communication](#)

<sup>5</sup> <https://climateknowledgeportal.worldbank.org/country/burkina-faso>

<sup>6</sup> <https://www.iisd.org/system/files/publications/idl-55876-burkina-faso.pdf>

<sup>7</sup> [Creating Markets in Burkina Faso – Growing Burkina Faso's Private Sector and Harnessing it to Bolster Economic Resilience](#)

<sup>8</sup> [World Bank data](#)

<sup>9</sup> [Creating Markets in Burkina Faso – Growing Burkina Faso's Private Sector and Harnessing it to Bolster Economic Resilience](#)

<sup>10</sup> [Burkina Faso's INDC](#)

These include, but are not limited to the following:

Activities	Status
UNFCCC	Signature 1992 Ratification 1993
Kyoto Protocol	Signature Ratification 2005
Doha Amendment	Acceptance 2016
Paris Agreement	Signature 2016 Ratification 2016
National Adaptation Programme of Action	Submitted 2007
Intended Nationally Determined Contribution	Submitted 2015
First Nationally Determined Contribution	Submitted 2016
Updated Nationally Determined Contribution	In progress
First National Communication	Submitted 2001
Second National Communication	Submitted 2014
Third National Communication	In progress
Biennium Update Report	Not submitted
Technology Needs Assessment	Participated
First Nationally Appropriate Mitigation Action	Submitted 2008
Biennial Report	Not submitted
Talanoa Dialogue	Participated

## 4. Key findings based on survey response

### 4.1. Use of UNFCCC guidance

According to the survey response, UNFCCC guidance has been incorporated into Burkina Faso's national processes through the organisation of workshops after a meeting of the Conference of the Parties (COP). During these workshops, conclusions and decisions are explained to actors at the sectoral and national levels, who are then invited to incorporate the UNFCCC guidance into national processes accordingly.

An example of this was seen in the development of the country's NDC. During this process, the Talanoa Dialogue three guiding questions drove stakeholder consultations in order to determine the objectives of the NDC. In addition to using the Talanoa Dialogue structure, the country also used IPCC guidelines in developing its greenhouse gas (GHG) inventories in various sectors and for analyses and mitigation targets in the NDC.

The survey response specifically mentioned that the country actively considered UNFCCC guidance on increasing ambition in successive NDCs and the and the timeline for revising NDCs, i.e. to increase ambition and communicate an NDC every five years



## CASE STUDY - BURKINA FASO cont'd

in line with Article 4 paragraphs 9 and 11 of the Paris Agreement.

### **4.2. Facilitating factors that supported use of UNFCCC guidance**

External support, especially with regard to the revision of Burkina Faso's NDC was highlighted as a facilitating factor in incorporating UNFCCC guidance during the updating of the NDC. In particular, guidance from the NDC Partnership was used in the development of Burkina Faso's NDC.

### **4.3. Challenges in use of UNFCCC guidance**

Burkina Faso explained that one of the biggest challenges the country faces with regard to incorporating UNFCCC guidance is lack of human capacity. The survey response mentions that the number of qualified persons is scarce and that there is a lack of good understanding of UNFCCC guidance, hindering its incorporation into national processes.

There is also no formalised process or mechanism for monitoring the integration and implementation of UNFCCC guidance and decisions into national plans and strategies and a general lack of awareness of UNFCCC guidance and decisions, beyond those who are directly involved in the UNFCCC process.

### **4.4. Additional factors that can facilitate incorporation into national processes**

A mechanism for monitoring the incorporation of UNFCCC guidance at national and sectoral levels could be helpful in increasing the incorporation of UNFCCC guidance at the national level according to the feedback received. Such an institutional monitoring mechanism should have designated focal points/respondents in each of the relevant ministries and agencies in order to further sensitise actors to UNFCCC guidance. The role of the media was also raised as a facilitating factor, in particular in the context of updating Burkina Faso's NDC.

The aim of collaborating with the media and other

communication actors is to sensitise a broader audience to the NDC and increase adoption of the NDC by various actors.

Additional workshops at the national and local levels, as well as capacity building initiatives were also highlighted as being useful in incorporating guidance into national processes in the Burkina Faso context.

### **4.5. Role of external support in facilitating use of guidance e.g. CAEP and regional arrangements**

External support has been critical for Burkina Faso in revising their NDC and in developing a monitoring, reporting and verification (MRV) system to monitor GHG emissions and to strengthen national capacity. The Government received funding through the Capacity Building Initiative for Transparency (CBIT) to develop this MRV system with funding from the Global Environment Facility (GEF), and United Nations Environment Programme (UNEP) as the implementing entity.

Support on capacity building and developing tools that help to mainstream UNFCCC guidance into national processes has played an important role for Burkina Faso as well. For example, in the case of updating the NDC, the NDC Partnership streamlined guidance for updating the NDC which provided assistance in the revision/update of the NDC process.

## **5. Conclusions**

Burkina Faso's institutional arrangements hold significant potential for integration of UNFCCC guidance into its national processes, but needs to be strengthened to include systems for monitoring and follow-up. The country has a history of utilising such guidance, but faces capacity constraints and a lack of human capacity. External support has been critical in the country's incorporation of guidance from the UNFCCC process and much emphasis was placed on building capacity to do this kind of incorporation without the need for external support.





# CASE STUDY - CHILE

## 1. National circumstances

### 1.1 Territory and population

Chile is a tri-continent country with territory located at the western and southern part of South America – including Easter Island in the South Pacific Ocean and extending southward into the Antarctic. The country has a total area of 2,006,096 km<sup>2</sup>, without considering its territorial sea, the exclusive economic zone and the continental shelf, and it is distributed in 755,915 km<sup>2</sup> that corresponds to South America, 1,250,000 km<sup>2</sup> to Antarctica and 181 km<sup>2</sup> to Oceania, according to the mapping records made by the Military Geographic Institute (IGM) in 2005. Also, Juan Fernández archipelago, the Islands Salas y Gómez, San Felix and San Ambrosio are part of the national territory.<sup>1</sup>

According to the last census of 2017, the Chilean total population is 17,574,003 inhabitants, 48.9 % of which are men and 51.1 % women (INE, 2017). Population growth has however slowed in the first decade of the 21st century and is projected to further decline toward 2050.

Although there has been major progress in terms of human development in the period 1980 to 2014 inequality remains a major challenge for Chile. The income of the richest 10% of the population is 30 times higher than the poorest 10% of the population. According to the World Bank,<sup>2</sup> Chile is classed as a high income country. In 2019 the Chilean GDP was 282,318 (billion USD). Chile became the first country in South America to become a member of the OECD in 2010.

### 1.2 Environmental circumstances

Most of the national territory is affected by air pollution. This is being addressed through 9 decontamination plans currently in force, as well as through processes outlined in the Decontamination Strategy. Work is also underway in communities to improve household energy efficiency.

Other environmental issues include water shortages brought on by drought and “Mega-drought” conditions. The term “mega-drought” means that drought at a national level affects 72% of the country’s land in different categories (mild, moderate, severe), corresponding to around 55 million hectares and affects 16 million inhabitants. Even though there has been an overall decrease in rainfall in the period 1961-2016 there is high variation in rainfall intensity with some areas of the country being affected by extreme rainfall events resulting in floods and mass displacement. According to Chile’s 3rd Biennial Update Report, there has been a considerable increase in average temperatures since recording began, though there are differences depending on the country’s geographic areas. The Chilean BUR states that ‘As a result of this rise, there has been an increase in the frequency and the intensity of heat waves, with more than 50 consecutive ones between 2015 and 2016, and between 2016 and 2017 (Dirección Meteorológica de Chile, 2018).<sup>3</sup>

Temperate climate conditions dominate, although there are multiple climates depending on latitude and height conditions.

## 2. Institutional and policy Framework

The current Chilean President, Mr Sebastián Piñera has outlined six (6) major axes related to the Environment: environmental institutional framework, air quality, biodiversity and green areas, circular economy, waste management and environmental remediation and climate change. In the climate change pillar eight main activities have been identified for implementation under government programme 2018-2022:

- 01** Implement a Law on climate change in order to comply with our international commitment to the year 2030.

<sup>1</sup> Chile’s Third Biennial Update Report, Submitted to the UNFCCC August 2019, available at [https://unfccc.int/sites/default/files/resource/5769410\\_Chile-BUR3-1-Chile\\_3BUR\\_English.pdf](https://unfccc.int/sites/default/files/resource/5769410_Chile-BUR3-1-Chile_3BUR_English.pdf), accessed 18 December 2020

<sup>2</sup> World Bank Data accessed at <https://data.worldbank.org/country/chile> last accessed 25 January 2021

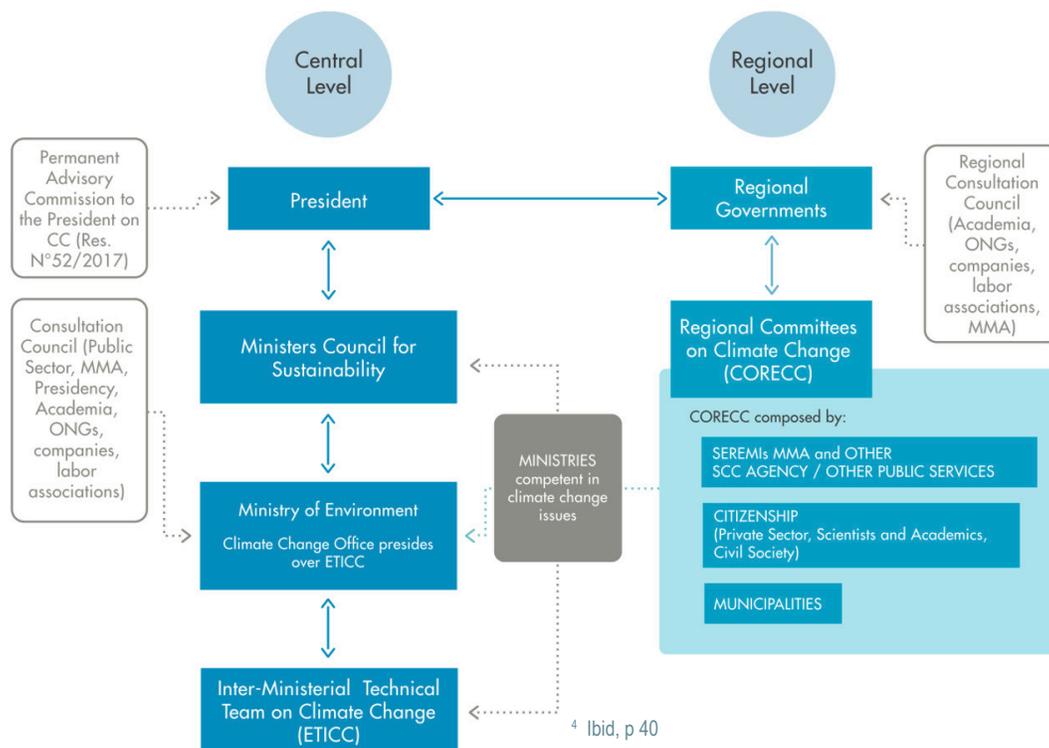
<sup>3</sup> Ibid, p. 30

- 02 Create or strengthen the National System of National Inventories of Greenhouse Gases (GHG), the National System for prospective GHG emissions and the Pollutants Release and Transfer Register.
- 03 Integrate the adaptation of climate change into the National Investment System, the National Strategy for Disaster Risk Reduction, the Strategic Environmental Assessment and the standards for infrastructure and buildings.
- 04 Assign sectorial responsibilities for reducing global emissions, update the adaptation plans and strengthen the supervision over the carbon tax by the Superintendence of the Environment.
- 05 Create a Climate Change Forum to promote the inclusive and participatory approach to the prevention and adaptation to climate change.
- 06 Decentralise and regionalise the actions of mitigation, adaptation and capacity building in the field of climate change.
- 07 Create a Scientific Advisory Committee of climate change in order to promote science-based decision-making.

- 08 Create a funding strategy, along with the creation of a National Climate Fund for scientific research, information generation, measures design and the transfer of technologies.

Climate change policies including the preparation of reports to the UNFCCC are coordinated through an elaborate institutional structure that coordinates at regional and at the central level straight to the office of the President. This structure features, a permanent advisory council to the President on climate change; a consultation council that includes the public and private sector, companies and labour organisations, academia and other non-governmental organisations. This body has a counterpart that operates at the regional level. The table below taken from Chile's third biennial update report illustrates the relationships between these entities.

**Outline of the institutional structure for implementing climate change policies<sup>4</sup>.**





## CASE STUDY - CHILE cont'd

In addition to these structures the following organisations also play a key role:

- Chile’s technical team for monitoring reporting and verification: consists of 9 public sector institutions focused on encouraging communication and interaction among the different entities involved in report preparation.
- The Ministry of Foreign Affairs: Directorate of Environment and Ocean Affairs and Chilean focal point for the UNFCCC.
- The Ministry of Finance: Designated National Authority to the Green Climate Fund.
- The Ministry of Energy: Develops plans and policies for the energy sector and prepares the inventory of GHG emissions.
- The Ministry of Agriculture: Agricultural studies and policies office advises the Minister on climate change policies for the agricultural sector.

Chile has also enacted several pieces of legislation supported by policies on climate action and is currently working on legislation to support the implementation of its 2019 carbon neutrality by 2050 goal. In total, they have enacted 8 climate laws and 19 policies that support the implementation of 10 climate targets<sup>5</sup>. Some of these are as follows:

- Law no. 20571 on environmental taxation (carbon tax, 2014).
- Law no. 20.780 (tax reform implementing green tax, 2014).
- Law no. 20571 regulating the payment of electricity tariffs of residential generators, 2012.
- National Climate Change Action plan (2008- 2012; 2017-2022).
- National strategy on Forests and Climate Change 2017-2025.
- Energy Route 2018-2022.
- Decree No. 52 creating the Permanent Presidential Advisory Committee on Climate Change (2018

- National Action Plan for Sustainable Consumption and Production 2017- 2022.
- National Climate Change Adaptation Plan, 2014.

### 3. UNFCCC participation and Involvement:

Chile has been a very active member of the UNFCCC since its ratification of the treaty in 1994. Chile is up to date with the submission of its reports under the UNFCCC with its latest Biennial Update Report submitted on 18 January 2021. It was the first country in the world to submit a Nationally Appropriate Mitigation Action (NAMA) in 2012. It is one of only 3 non - Annex 1 countries to have submitted a fourth Biennial Update Report and, of the countries assessed by the Climate Action Tracker (CAT) it is one of only 8 countries ( 7 countries plus the EU) that has submitted an updated NDC target that is stronger<sup>6</sup> than its initial NDC. Chile participates in UNFCCC discussions in its national capacity and as a founding member of the Independent Association of Latin American and Caribbean states (AILAC). Chile was also the President of COP 25 that took place in Madrid, Spain.

Activity	Status
UNFCCC	Ratification: 22 December 1994
Kyoto Protocol	Signature: 17 June 1998 Ratification August 2002
Doha Amendment	Acceptance 10 November, 2015
Paris Agreement	Signature 20 September, 2016 Ratification 10 February, 2017
First Nationally Determined Contribution	Submitted 9 February 2017
Updated Nationally Determined Contribution	Submitted 8 April 2020
Voluntary Copenhagen Pledge	2010
First National Communication	Submitted 3 February 2000
Second National Communication	Submitted 24 October 2011
Third National Communication	Submitted 16 November 2016
Latest Biennium Update Report (BUR 4)	Submitted 18 January 2021
International Consultation and Analysis	Participated 3 March 2020
Talanoa Dialogue	Participated through submissions with AILAC and CARICOM
Long Term Low Carbon Strategy	In 2019 Committed to carbon neutrality by 2050

<sup>5</sup> Data made available by Grantham Research Institute on Climate Change and the Environment available at <https://www.climate-laws.org/geographies/chile> last accessed on 25 January 2021

<sup>6</sup> Climate Action Tracker assessment available at <https://climateactiontracker.org/climate-target-update-tracker/> last accessed on 25 January 2021

## **4. Key findings from survey results**

### **4.1 Use of UNFCCC guidance**

UNFCCC guidance is routinely incorporated into national planning processes on climate change in Chile. COP decisions are applied in the context of reporting under the UNFCCC as well as in the context of policy development. In its survey response, the creation of a manual on gender equality in the climate change office is cited as an example of the utilisation of guidance from the UNFCCC, along with participation in the MRV processes. The survey response also cites the national inventory, NDC and long-term decarbonisation strategy as examples of the application of guidance from COP decisions. The Chilean response to the UNFCCC guidance appears to be filtered through different entities of its domestic institutional set-up depending on the issue. For example, in relation to the preparation of national inventories it is the Climate Change Office of the Ministry of Environment of Chile that took the lead in designing the National GHG Inventory System of Chile (SNICHILE) in response to the UNFCCC reporting requirements. The Climate Change Office also appears to regularly play a coordinating role amongst various institutions in the design of domestic implementation of UNFCCC guidance as set out in Chile's 3rd BUR.

### **4.2 Facilitating factors that supported implementation of UNFCCC guidance**

Like many developing countries Chile has benefitted from the wide range of trainings that different actors provide, as well as peer-to-peer learning and workshops that help to clarify how UNFCCC guidance is to be applied.

### **4.3 Challenges in use of UNFCCC guidance**

Challenges to the application of guidance that were identified related to the availability of time, resources and access to information and knowledge on how guidance is to be applied.

### **4.4 Additional factors that can facilitate incorporation of UNFCCC guidance**

"Political buy-in at the highest levels has facilitated incorporation of UNFCCC guidance into national processes. The Chilean survey response set out that a benefit of the Talanoa Dialogue was that it was able to secure the buy-in of their Head of State and thus contribute to enhancing climate ambition. The survey also noted that the Talanoa dialogue encouraged them to push harder for a more ambitious NDC and take into consideration the idea of carbon budgets. Survey responses also stressed the utility of trainings in particular for assisting Parties to understand and apply the outcome of the GST.

### **4.5 Role of external support in facilitating use of guidance**

External support was cited as a very important contributor to facilitating the use of guidance through the organisation of relevant trainings and webinars. Specifically, for the GST outcome it was stated that guidance would be needed to understand what it is, how it affects Parties and how it can be used.

## **5. Conclusions**

Chile, as a result of its responsiveness to the UNFCCC process with the submission of reports and its overall participation, can be considered a model for compliance with the international climate change regime. In this context it is significant that their survey responses stressed the importance of additional support and training for translating GST outcomes into the national context.

As both an OECD country and a non-Annex 1 country, the Chilean approach to the implementation of guidance from the UNFCCC features elements common to both developed and developing countries.



## CASE STUDY - CHILE cont'd

Whereas the legislative and policy framework for delivering climate outcomes is dense, there is still a reliance on capacity building mechanisms to support implementation as set out in their Biennial Update Report (BUR). Additionally, resource and capacity constraints are still a factor in the Chilean application of UNFCCC guidance.<sup>7</sup>

Additional factors that facilitate incorporation of COP guidance into national processes included political buy-in at the highest levels. The Chilean institutional set up includes mechanisms that feed in information concerning developments in international negotiations, as well as guidance on domestic policy, to the highest levels of government. This undoubtedly plays a role in the Chilean responsiveness to the UNFCCC process and its dictates.

For the purpose of the GST, countries like Chile – high income developing countries, that have participated proactively in the UNFCCC context with corresponding outcomes at the domestic level – would likely benefit greatly from the organisation of a post GST exercise led by the Secretariat or trustworthy third-party, to further explain the implications of the outcome and, in so doing, facilitate domestic implementation.

<sup>7</sup> Op Cit, p. 23 [https://unfccc.int/sites/default/files/resource/5769410\\_Chile-BUR3-1-Chile\\_3BUR\\_English.pdf](https://unfccc.int/sites/default/files/resource/5769410_Chile-BUR3-1-Chile_3BUR_English.pdf) last accessed January 2021





# CASE STUDY - GERMANY

## 1. National Circumstances

### 1.1. Physical, political, economic and demographic characteristics

The Federal Republic of Germany (Germany) is a federal republic of sixteen states (Länder) located in western and central Europe. It is 357,000 sq. km in size, making it the seventh largest country in Europe and has a population of 83.2 million (2019).<sup>1,2</sup>

Germany is a highly industrialised country, with the fourth largest economy in the world ranked by nominal Gross Domestic Product (GDP) (2019). GDP in 2019 was 3,449B EURs, and per capita income was 41,508 EUR.<sup>3</sup> The main economic sectors are vehicle and machinery manufacturing, food and chemical industries.

It is a member of the European Union and also has membership in other political and economic groupings, including the Group of Seven (G7), Group of Twenty (G20) and the Organisation for Economic Co-operation and Development (OECD).

### 1.2. Greenhouse gas emissions

Germany was the sixth largest emitter of greenhouse gases in the world in 2018<sup>4</sup> and reported its 2019 emissions at 813t – 9.89t/capita.<sup>5</sup> Carbon dioxide is the main contributor to GHGs, accounting for 88% in 2017. Most of these emissions came from stationary and mobile combustion of fossil fuels. Other significant gases included methane (6.1%), most of which came from livestock raising, fuel distribution and landfills; nitrous oxide (4.2%) from agriculture, industrial processes and the combustion of fossil fuels; and fluorinated gases (1.7%).<sup>6</sup>

The main emitting sectors (2019) were Energy (31.55%), Industry (23.35%), Buildings (15.16%), Transport (20.25%) and Agriculture (8.45%).<sup>7</sup>

### 1.3. Climate change vulnerability and impacts

Germany is experiencing the impacts of climate change. The Seventh National Communication notes that the areal mean of Germany's air temperature rose by about 1.4 degrees Celsius between 1881 and 2015, while the areal mean annual precipitation increased by about 10% since the late 19th century (1881). There are geographic and seasonal differences in precipitation trends within Germany, with, for example, the increase in annual precipitation being mostly limited to western Germany, while the increase during the winter half-year in eastern Germany is mostly offset by decreases in summer.

Additional changes are projected including a further rise in temperature and an increase in temperature extremes, particularly in the form of more frequent heatwaves. The total mean annual precipitation is not projected to change substantially up to 2050, although the seasonal distribution will.<sup>8</sup>

## 2. Institutional and policy framework

### 2.1. Climate change policy framework

The German climate change policy priorities and targets are enshrined in its Climate Action Plan 2050. Under this Plan, Germany intends to become "largely greenhouse gas neutral by 2050". The Climate Action Plan 2050 spells out the government's targets of reducing its greenhouse gas emissions by at least 55% by 2030 and 70% by 2040 compared with 1990. It also sets out 2030 climate targets for the individual sectors, describes the development pathways needed in those sectors, lists initial implementation measures and sets up a process for monitoring and refining the policies and measures.<sup>9</sup>

<sup>1</sup> Multilateral Assessment, Presentation by Germany, November 2020

<sup>2</sup> <https://www.nationsonline.org/oneworld/germany.htm>

<sup>3</sup> Multilateral Assessment, Presentation by Germany, November 2020

<sup>4</sup> <https://www.ucsusa.org/resources/each-countrys-share-co2-emissions>

<sup>5</sup> Multilateral Assessment, Presentation by Germany, November 2020

<sup>6</sup> Germany's Fourth Biennial Report on Climate Change under the UNFCCC 2020

<sup>7</sup> Derived from Multilateral Assessment, Presentation by Germany, November 2020

Germany is relying on a mix of measures and instruments to achieve its climate policy targets. The regulatory framework is defined by primary and secondary legislation, and financial incentives are among the tools used to influence stakeholder behaviour. Other economic instruments, such as the European Emissions Trading Scheme, use a pricing signal to influence the actions of the relevant players. Other programmes also play their part in supporting technological research, the use of renewable energy, and measures that will eliminate impediments to climate action and ensure it is accepted, and improve energy efficiency by providing advisory services and information and facilitating networking and public participation. Adaptation measures play an important role, as well. Germany has also committed to fulfilling its international responsibilities through financial support and technology transfer.

## 2.2. Legal framework

Environmental protection is enshrined as a national objective in the German constitution and the development of environmental law is based on three principles:<sup>10</sup>

- the precautionary principle which “...seeks to avoid or minimise pollution and dangers to the environment before they arise”;
- the polluter pays principle which “...allocates the costs of pollution to the polluter”; and
- the principle of cooperation – wherein “...the task of caring for the environment is shared by the government, the corporate sector and the citizens.”

German environmental law and its corresponding regulatory framework is also heavily influenced by the laws of the EU and by international environmental legislation.

## 2.3. Constitutional Arrangements<sup>11</sup>

The administrative structure is based on three principles of the Constitution: The Separation of Powers, Federalism and Self-government of Local

Authorities. As a basic rule, the Constitution stipulates that the execution of power is a matter of the State. The federal level has administrative and legislative power only in the areas it is entitled to by the Constitution. The Federal level has priority of access in some areas, including for legislative powers for environmental law. In practice, administrative tasks are executed by the State and local governments, with the state performing the majority of implementation tasks as defined by federal law.

## 2.4. Incorporation of EU governance

The EU is mainly responsible for setting law, not implementing it, which happens in the member states. Many of the subjects that German environmental administration deals with are derived from EU regulation: more than two thirds of environmental regulations in Germany can be traced to EU regulations. The European Union law on the environment is basically shaped by directives. Directives, in principle, have no direct legal effect in the member states of the Union. They have to be transposed into national law to become effective.

## 2.5. Administrative structure<sup>12</sup>

Ministries are the supreme authorities at the Federal level. Their main task is to prepare legislation and develop policy. Most ministries establish superior federal agencies to provide technical assistance to the administration.

Climate Change is included in the mandate of the Federal Ministry for the Environment, Nature Conservation and Nuclear Safety (BMU), which has responsibility for:

<sup>8</sup> Germany's Seventh National Communication on Climate Change (2017)

<sup>9</sup> Germany's Fourth Biennial Report on Climate Change under the UNFCCC 2020

<sup>10</sup> German Environment Agency. (July 2019). A Guide to Environmental Administration in Germany

<sup>11</sup> Ibid

<sup>12</sup> GIZ. A brief history of the German national reporting system on climate change



## CASE STUDY - GERMANY cont'd

Climate Change is included in the mandate of the Federal Ministry for the Environment, Nature Conservation and Nuclear Safety (BMU), which has responsibility for:

- Preparing regulatory legislation and transposing directives for the EU into national law, and for issuing ordinances and administrative regulations – subordinate legislation which specifies further details of an act, in particular with regards to enforcement.
- National and international coordination and cooperation, including representation in the EU and other international organisations.
- Funding for research and development.
- Media and public relations activities that enable the public to play an active role.

There are four federal agencies operating under the BMU:

- the Federal Environment Agency (UBA).
- the Federal Agency for Nature Conservation.
- the Federal Office for Radiation Protection.
- the Federal Office for the Regulation of Nuclear Waste Management.

In addition, several independent expert committees have been set up to advise the ministry.

### 3. UNFCCC participation and involvement

#### 3.1. Ratification of UNFCCC instruments

Germany has been an active participant in the UNFCCC and the city of Bonn is the home to the UNFCCC Secretariat. It signed the Convention on June 12, 1992 and has ratified all of the instruments of the UNFCCC.<sup>13</sup>

Activities	Status
UNFCCC	Ratification 1993
Kyoto Protocol	Ratification 2002
Paris Agreement	Ratification 2016
First Nationally Determined Contribution	Submitted 2016
Updated Nationally Determined Contribution	Submitted 2020
Seventh National Communication	Submitted 2020
Fourth Biennial Report	Submitted 2019
Long Term Low Carbon Strategy	Submitted 2020
Talanoa Dialogue	Participated
Multilateral Assessment	Participated
ICA/IAR Process	Participated

#### 3.2 Reporting requirements

As a Party to the UN Framework Convention on Climate Change, Germany has been required to prepare and submit a number of reports, viz:

- Annual National Inventory Reports since 1994;
- National Communications every four years; and
- Biennial Reports every two years.

Germany is up to date on these commitments and submitted its latest National Inventory Report (NIR 2020) on April 15th 2020,<sup>14</sup> its Seventh National Communication on December 20, 2017<sup>15</sup> and Fourth Biennial Report on December 20, 2019.<sup>16</sup>

Germany's also exercises the option of participating in the UNFCCC as a member of the European Union (EU) and the EU's first Nationally Determined Contribution (NDC) in 2015/2016 and its updated NDC in December 2020 have been submitted as part of the EU burden sharing arrangements.

#### 3.3. Participation in UNFCCC Bodies

Germany actively participates in a variety of UNFCCC bodies and provides funding to support developing countries through a variety of institutions. These include the Adaptation Fund, the Green Climate Fund, the Global Environmental Facility and the Climate Investment Funds and programmes like the NDC Partnership and the UNFCCC Technology Mechanism.<sup>17</sup>

<sup>13</sup> [https://treaties.un.org/Pages/ViewDetailsIII.aspx?src=IND&mtdsg\\_no=XXVII-7&chapter=27&Temp=mtdsg3&clang=en](https://treaties.un.org/Pages/ViewDetailsIII.aspx?src=IND&mtdsg_no=XXVII-7&chapter=27&Temp=mtdsg3&clang=en)

### **3.4. Responding to UNFCCC mandates - Preparation of reports**

The UBA provides the scientific basis for environmental policy, including for climate change. It is also the point of contact for international organisations like the UNEP and is the competent authority for the administration of the EU Emissions Trading System in Germany.

There is a clear line of responsibility for the preparation of the UNFCCC Reports. The UBA is the 'Technical authority' for the implementation of the reporting obligations while the political responsibility is borne by the Federal Environment Ministry. The National Inventory Report is prepared by the National Coordination Agency for Emission Inventories in the UBA. This coordination agency is supported by other federal institutions, such as the Federal Statistical Office and the Federal Research Institute for Rural Areas, Forestry and Fisheries which gathers data on GHG emitted by agriculture, land use, land use change and forestry.

The Biennial Report and the National Communications are prepared by the Unit for Strategic Aspects of Climate Policy and Climate Action Plan in the 'Climate and International Affairs' department at the BMU. These agencies are responsible for keeping abreast of new guidance and mandates from the UNFCCC and related bodies and ensuring that they are incorporated into the reports that are being prepared, in the manner required by the guidance and mandates.

## **4. Key findings from survey results**

### **4.1. Use of UNFCCC Guidance**

UNFCCC Guidance is used both directly and indirectly in policy making and implementation, with the manner of incorporation dependent on the nature of the Guidance.

Guidance on technical matters, such as those related to GHG inventories, are referred to the competent authority (e.g. specialised agency as referred to in Section 3.4 above) who will implement as required. In fact, the Seventh National Communication specifies that the structure and content of the report are "... in accordance with the UNFCCC Guidelines on reporting and review"<sup>18</sup>. It goes on to state that "The format of biennial reporting was approved at the 17th session of the Conference of the Parties in Durban in 2011" and that "the basis for biennial reporting by the industrialised countries is table formats that were approved at the 18th session of the Conference of the Parties in Doha."<sup>19</sup>

UNFCCC guidance regarding the international process, such as the details on how the Global Stocktake is to be conducted, mainly influence the preparations of the EU negotiation team, but may also influence domestic decision making e.g. on research grants.

There are no defined processes for deliberating on UNFCCC Guidance that are deemed to be of a general nature and express aspirations rather than finite plans<sup>20</sup>. These might enter domestic processes through the government's internal reporting from the COP and discussion in media reports and among the general public.

More specific parts of the UNFCCC Guidance, such as the requirement to update NDCs in 2020, or mandates coming from the Global Stocktake, are also brought to the table in this manner and may also be taken up in the arguments of pro-climate climate advocates and advanced into policy.

<sup>14</sup> <https://unfccc.int/ghg-inventories-annex-i-parties/2020>

<sup>15</sup> <https://unfccc.int/NC7>

<sup>16</sup> [https://unfccc.int/sites/default/files/resource/trr2020\\_DEU.pdf](https://unfccc.int/sites/default/files/resource/trr2020_DEU.pdf)

<sup>17</sup> Germany's Seventh National Communication on Climate Change (2017)

<sup>18</sup> Germany's Seventh National Communication on Climate Change (2017)

<sup>19</sup> Ibid

<sup>20</sup> Examples of these can be found in Decision 3/CP.25 Enhanced Lima work programme on gender and its gender action plan; and in Decision 1/CP.21 paragraphs on the relevance and contribution of non-state actors, the private sector and local communities.



## CASE STUDY - GERMANY cont'd

The role of the media in this process should not be underestimated. The survey response highlighted how the media was instrumental in influencing EU and German discussions on the Talanoa Dialogue and contributed to the overall Dialogue in a number of ways including:

- It put the 2020 deadline for updated/enhanced NDCs squarely on the table and opened a door for all to start talking about raising ambition.
- It raised the profile of the IPCC's Special Report on Global Warming of 1.5°C and helped change the perception of what would be successful climate protection on the global level. While the Paris Agreement explicitly included the 1.5°C goal, the 1.5°C Special Report and the political discussions about it during the Talanoa Dialogue and COP24 in 2018 "led to a shared understanding among many in the "climate bubble" that stopping warming at 2°C would not be enough, given the impact on the most vulnerable and beyond".
- The preliminary technical work was an important part of the process, in order to allow for some kind of build-up and preparation for the political involvement.

### 4.2. *Facilitating factors that supported use of UNFCCC guidance*

The use of UNFCCC Guidelines has been facilitated by a number of factors:

- Clear guidance including deadlines and process provisions that leaves little "wiggle room" for subsequent deviations.
- Strong political communication and media reporting in support of the requirements.
- Effective translation of the decision text into operational language that can be easily understood and implemented.
- Implementation by a large number of countries acting together.

### 4.3. *Challenges in use of UNFCCC guidance*

The main challenges in the use of UNFCCC Guidance are:

- Lack of clarity - unclear and general remarks in the UNFCCC Guidance will get ignored.
- Lack of support from other countries for implementation of the Guidance. Countries will be reluctant to implement the Guidance if they feel that are the only one who is willing to do so.

### 4.4. *Additional factors that can facilitate incorporation of UNFCCC guidance*

Factors that can facilitate incorporation of UNFCCC Guidance, including as related to the GST, include:

- Involvement of politicians in the process at the highest level possible.
- Clear, widely communicated and understood guidance on what is necessary and by when.
- The support by a large group of countries, including most major emitters.
- National climate laws could include cycles that are aligned with the cycle of the Paris Agreement. That could include an "automatic" trigger to kick off the discussion on the updated target, e.g. by asking a scientific or political body to give a recommendation on the new climate target, based on the results of the global stocktake.

### 4.5. *Role of external support in facilitating use of guidance*

Not applicable

## 5. Conclusions

The main conclusions to be drawn from the foregoing are as follows:

- Germany has a history of implementing UNFCCC Guidance and Mandates and has in place institutional structures to do so. The potential for use of Guidance coming out of the GST is therefore very high.
- Structured internal processes are helpful in facilitating the use of Guidance. These processes should identify responsible agencies, as appropriate, and specify the role of these agencies in the implementation process.
- Processes for implementation of aspirational guidance are not as rigorous as those in place for implementation of technical guidance. Consideration of aspirational guidance is initiated through internal reporting processes and is influenced in part by internal advocacy and by media reporting.
- Countries should be willing to explore multiple approaches to implementing the different types of UNFCCC Guidance and should not adopt a “one size fits all” approach. This is highlighted by the differentiated approaches being used for the different types of UNFCCC guidance to ensure that the Guidance is handled by the competent authorities for that type of guidance.
- UNFCCC Guidance needs to be clear and include deadlines and process provisions that leaves little “wiggle room” for subsequent deviations.
- There is a need for strong political communication across multiple countries in support of the requirements contained in the Guidance.
- There is a need for effective translation of the decision text containing the Guidance into operational language that can be easily understood and implemented.
- The media can play a useful role in building support for the implementation of the UNFCCC Guidance.





# CASE STUDY - JAMAICA

## 1. National circumstances

### 1.1 Context

Jamaica, a Small Island Developing State measuring approximately 10,990 square kilometers, with a population of 2.7 million and dependent of natural resources, is highly vulnerable to climate change the impacts which are already being experienced and constitute a major threat to Jamaica's growth and development strategy.<sup>1</sup>

Jamaica became a party to the United Nations Framework Convention on Climate Change (UNFCCC) in 1995, ratified the Kyoto Protocol (KP) in 1999 and the Paris Agreement (PA) in 2017. Jamaica committed to and has diligently fulfilled its obligations under the Convention and its Protocols. Jamaica has committed to being a low carbon economy by the middle of the century. Jamaica has submitted its updated Nationally Determined Contribution (NDC) in June 2020 which commits the country to reduce its greenhouse gas emissions by 25.4 percent unconditionally and 28.5 percent conditionally relative to business-as-usual scenario from policies in place in 2005<sup>2</sup>. In 2012 the total greenhouse gas emissions were estimated at 13296 Gg of carbon dioxide equivalent. The national energy mix was based primarily of imported fossil fuels which accounted for 91 percent with renewable energy from hydro, wind and biomass accounting for 9 percent.<sup>3</sup>

Climate change has been deemed as an existential threat to Jamaica due to the country's geographical location, biophysical landscape, openness of the economy and dependence on imported merchandise. Jamaica enjoys an upper middle income economy status despite its high vulnerability to climate change.

In the ten-year period, 2000-2010, climate change impacts were estimated at US\$129 billion from frequent hurricanes, storms and flooding on agricultural production, food security, coastal destruction, infrastructure and livelihoods. In part due to climate change impacts the country's debt to GDP ratio was consistently above 100 percent of the country's gross domestic product from 2006 to present peaking at 135.5 percent in 2013. The average unemployment rate was 14 percent during that period. In 2011, it was estimated that 17.5 percent of Jamaicans were living below the poverty line. With the combined devastating impact of climate change and the Covid-19 pandemic it is widely agreed that a higher percentage of Jamaicans are now living below the poverty line. Prior to the pandemic the projected growth of the economy was stated at 2 percent per annum to 2030.<sup>4</sup> The potential medium term growth fallout from the pandemic has not yet been determined.

### 1.2 Temperature<sup>5</sup>

The historical climate trends and projections for Jamaica gleaned from the Third National Communication shows that the maximum, mean and minimum temperatures are increasing linearly and the mean annual surface temperatures expected to increase by 3 degrees Celsius by 2100. The trend also shows an increase in the frequency of hot days and nights and a concurrent decrease in cold days and cold nights. Significant coral bleaching is now being experienced from higher sea surface temperatures with the prediction of decimation with higher sea surface temperatures by the end of the century.

### 1.3 Rainfall

The rainfall pattern shows significant year to year variability with intensity and occurrence of extreme events increasing while a drying trend is observed. The rainfall profile shows an overall decreasing trend. Jamaica was projected to be 21 percent drier by the end of the century.

<sup>1</sup> The information in the National Circumstances were gleaned from the Third National Communications, the Biennial Update Report and new and Updated NDC referenced as follows: <https://unfccc.int/documents/192422>

<https://unfccc.int/documents/180654>

<sup>2</sup> Jamaica's New and Updated NDC

<sup>3</sup> <https://unfccc.int/documents/192422>

<sup>4</sup> <https://unfccc.int/documents/192422>

<sup>5</sup> Information in sections 1.2-1.5 was gleaned from the Third National Communications



## CASE STUDY - JAMAICA cont'd

### 1.4 Hurricanes

The historical trend shows a decrease in frequency but a dramatic increase in intensity and duration of hurricanes with an increase in category 4 and category 5 hurricanes. The projection shows a shift to stronger storms and hurricanes by the end of the century. In Jamaica 82 percent of the population reside within 5 kilometers of the coastline. 70 percent of major industries and the major infrastructure are on the coasts and vulnerable to storm surges accompanying major hurricanes.

### 1.5 Sea level rise

The historical trend shows rising sea levels at a rate of 18mm/year since 1950 with higher rates in later years. It is projected that sea level rise for Jamaica can be as much as 1m by the end of the century. Sea level rise and associated storm surges impacts are expected to bring significant coastal destruction with loss of coastal ecosystems such as coral reefs, sea grass beds and mangroves, and critical infrastructure and livelihoods.

## 2. Policy framework and institutional framework<sup>6</sup>

### 2.1 Policy framework

Jamaica elaborated Vision 2030 in 2009 as a strategic roadmap to achieve its goals of sustainable development by 2030. This constitutes the overall policy framework for national climate change action coupled with its accompanying sectoral plan entitled “Natural Resources and Environmental Management and Hazard Risk Reduction and Climate Change”.

This sectoral plan takes a holistic approach to sustainable development. In 2015, Jamaica elaborated the “Climate Change Policy Framework and Action Plan (2015)” which provided the framework to support Vision 2030 by reducing climate risks and outlining the country’s sectoral responses to climate change. Jamaica aims to achieve developed country status by graduating from middle income status.

### 2.2 Institutional framework

The management of Jamaica’s climate change portfolio has been assigned to the Ministry of Housing, Urban Renewal, Environment and Climate Change where a Climate Change Division has been established to service the administration of the climate change portfolio. A Climate Change Advisory Board of technical experts has been established to advise the Minister responsible for climate change. The Climate Change Division serves as the secretariat to the Climate Change Advisory Board.

Jamaica has also established a Climate Change Focal Point Network comprising representatives from the ministries, selected departments and agencies, civil society, private sector and academia charged with the mandate to coordinate sectoral strategies and action plans and to mainstream climate change considerations into national and sub-national policies, plans and programmes. The institutional framework also includes enhanced coordination with sectoral departments in particular forestry, meteorology, planning, water, disaster, science and technology and marine. A sub-network of various interest groups at the parish and community level completes the institutional framework.

### 3. UNFCCC participation and involvement:

Jamaica has a rich history of active participation in the UNFCCC processes. Jamaica is an active member of the Alliance of Small Island States (AOSIS) and Group of 77 and China and has taken up various leadership and coordination roles. Jamaica was a previous chair of the G77 and China. Jamaica has facilitated several processes and has actively participated on several constituted bodies. The table below provides an inexhaustive list of activities that demonstrates Jamaica’s active participation and involvement in UNFCCC processes geared to achieve the objectives of the Convention and its Protocols.

<sup>6</sup> <https://unfccc.int/documents/192422>

Activity	Status
UNFCCC	Party 1995
Kyoto Protocol	Ratification June 28, 1999
Doha Amendment	Acceptance October 1, 2020
Paris Agreement	Signature April 22, 2016
Ratification	April 10, 2017
Intended Nationally Determined Contribution	Submitted November 2015
First Nationally Determined Contribution	Submitted April 9, 2017
Updated Nationally Determined Contribution	Submitted June 2020
First National Communication	Submitted Nov 21, 2000
Second National Communication	Submitted Dec 2, 2011
Third National Communication	Submitted Jan 14, 2019
Biennial Update Report	Submitted Jan 14, 2019
Multilateral Assessment	Completed
Technology Needs Assessment	Completed
National Capacity Self Assessment	Completed
ICA/IAR process	Participated
First Nationally Appropriate Mitigation Action	Submitted
Facilitative Sharing of Views	Participated
Talanoa Dialogue	Participated
Long Term Low Carbon Strategy	Committed

## 4. Key findings from survey results

### 4.1 Use of UNFCCC guidance

The use of COP guidance is facilitated in Jamaica through planned workshop and review sessions. There are regular pre-COP sessions where national positions are determined and post-COP sessions where the outcomes of the COP are analysed for determination of the national implications and issues relating to implementation. These sessions are held with multi stakeholder groupings including state and non- state actors- particularly private sector, NGO community, gender and youth. UNFCCC guidelines and IPCC guidelines are used to inform and help determine these positions and constitutes the basis for Jamaica's reporting obligations. For example, the ICTU template was used as a basis for Jamaica's preparation of its updated NDC.

### 4.2 Facilitating factors that supported UNFCCC guidance:

The use of experts during the workshop and training sessions are critical for supporting UNFCCC guidance. Regular sessions are held with other regional countries under the rubric of AOSIS or CARICOM involving regional and international experts on the various issues.

The Talanoa Dialogue (TD) process was useful as a framework to enhance understanding through the utilisation of the framework, principles and guiding questions which was used to guide national discussions against the backdrop of Jamaica's obligations under the UNFCCC. Exposure of wider stakeholders in the COP processes facilitates greater understanding and voluntary incorporation of UNFCCC guidance into national processes.

### 4.3 Challenges in use of UNFCCC guidance

Financial support for participation into the UNFCCC process was deemed a major concern in Jamaica. The Jamaican team is usually small and not able to follow all issues necessary to unpack the guidance which in some cases are ambiguous. The issue of mainstreaming of UNFCCC guidance on the national level is also cited as a challenge in the sense that making the linkages and synergies between what is done at the national level and the guidance provided at the international level is also deemed critical for uptake of UNFCCC guidance. Gaps in national capacity for the implementation of UNFCCC decisions along with their Climate Change Policy Framework and Action Plan were also cited as a challenge in Jamaica.

### 4.4 Additional factors that can facilitate incorporation of UNFCCC guidance

Jamaica cited national political leadership, global political momentum, strengthening of national institutions and public education and awareness as key factors that can facilitate incorporation of COP guidance.



## CASE STUDY - JAMAICA cont'd

### 4.5 *Role of external support in facilitating use of guidance*

It is clear that Jamaica values increased national participation in UNFCCC processes facilitated by external support from the UNFCCC, external agencies, domestic sectoral agencies, academia and the private sector. It is argued that if the UNFCCC guidance refers to explicit sectoral benefits then this will facilitate greater participation from the sectors. Enhanced understanding of UNFCCC decisions and technical assistance to fill gaps in national capacity relating to implementation of guidance are facilitated through post-COP and Pre-COP workshops held under the auspices of the CARICOM grouping and/or AOSIS with engaged regional and international consultants.

### 5. *Conclusions*

The case study shows that Jamaica has been repeatedly negatively impacted by climate change since ratifying the Convention in 1995. Climate change impacts constituted a drain on the socio-economic development of the country. Jamaica has instituted reforms in its policy and institutional framework in order to address climate change and to fulfil its obligations under the Convention. In this regard, Jamaica has been actively involved in the UNFCCC process from its inception and has committed extensive national capital and other resources despite limited fiscal space to fulfil the obligations undertaken under the Convention. There are however some factors that can enhance participation and involvement including enhancing the potential for the use of GST results for raising ambition and enhancing implementation.

These include the following:

- Elaboration of a targeted institutional strengthening and capacity building programme focusing on promoting technical capacity, data management, institutional collaboration, expansion of pool of nationals to be immersed into the UNFCCC process and maintain the momentum for urgent and ambitious actions on the national level.
- Mainstreaming climate change actions in national policies and programmes through focused leadership at all levels of society.
- Elaboration of comprehensive and continuous education, public awareness and outreach with inclusive and engaging whole of society approach to demonstrate the expressed linkages between ambitious climate action emanating from UNFCCC processes and national socio-economic development.
- Determining and implementing the financing capacity geared to enhance understanding, participation and involvement of nationals in the UNFCCC processes and to implement COP decisions.





# CASE STUDY - NEPAL

## 1. National circumstances

Nepal is a mountainous land-locked and Least Developed Country (LDC) with a population of nearly 30 million in 2020<sup>1</sup> and GDP per capita of US \$817.78 in 2018<sup>2</sup>, located between China and India, with a total land area of 147,181 square kilometers.

### 1.1 Climate change context

Nepal is highly vulnerable to climate change. According to the country's Nationally Determined Contribution (NDC), Nepal has experienced increases in temperature and decreases in mean precipitation. Data on temperature trends from 1971 to 2014 shows that annual maximum temperature is rising at the rate of 0.056°C per year, whereas precipitation in all seasons is decreasing with the highest decreasing trend (-0.3 mm/yr) in the post-monsoon season. Annual decrease in precipitation in Nepal is 1.3 mm/yr<sup>3</sup>. Both the average annual mean temperature and the average annual precipitation are projected to increase until the end of the century. Precipitation could increase by 11–23%, and mean temperature might increase by 1.7–3.6°C by 2100<sup>4</sup>. Nepal has seen an increase in frequency of soil erosion, landslides, flash floods, and droughts.

Nepal is ranked the eleventh most earthquake-prone country in the world. It experienced a devastating earthquake of 7.6 magnitude on 25 April 2015 with around 9,000 casualties and over 22,000 injuries. Earthquake and climate-induced disasters have accelerated vulnerabilities and risks to water and sanitation security, food insecurity and further made the country highly vulnerable to climatic hazards.<sup>5</sup>

The country's greenhouse gas (GHG) emissions profile is relatively low (below 0.1 percent of total global emissions), but the country is at high-risk due to the country's fragile topography, the climate-sensitive livelihoods of the people and limited adaptive capacity. Nepal faces various socioeconomic challenges including high rates of poverty, illiteracy and gender

inequality that can amplify the impacts of climate change.

### 1.2 Socio-Economic context

Nepal's poverty is said to be gradually decreasing over the years; the population below absolute poverty line has decreased from 25.2% in 2011 to 16.67% in 2020<sup>6</sup>. Agriculture is the main economic activity, contributing about one third of the Gross Domestic Product (GDP) and employing about two-thirds of the work force<sup>7</sup>.

A 2013 study on Economic Assessment of Climate Change in Key Sectors (agriculture, hydropower and water-induced disasters) has estimated direct cost of current climate variability and extreme events equivalent to 1.5 to 2 percent of current GDP/year (approximately USD 270-360 million/year in 2013 prices) and much higher in extreme years.<sup>8</sup>

## 2. Institutional and policy framework

### 2.1. Institutional arrangements

Institutional arrangements with regard to climate change in Nepal include coordination mechanisms and committees for policy guidance and on-the-ground implementation.

Nepal has established a Climate Change Management Division and a Reducing Emissions from Deforestation and Degradation (REDD) Implementation Centre under the Ministry of Forests and Environment. Both entities focus on implementation of the relevant UNFCCC provisions.<sup>9</sup> The country has respective line ministries to coordinate broadly on

<sup>1</sup> Estimated population for 2020. Population projection by the Central Bureau of Statistic, Nepal

<sup>2</sup> Macroeconomic Indicators, World Bank, 2019

<sup>3</sup> DHM, 2017. Observed Climate Trend Analysis in the Districts and Physiographic Regions of Nepal (1971-2014). Department of Hydrology and Meteorology, Kathmandu

<sup>4</sup> MoFE, 2019. Climate change scenarios for Nepal for National Adaptation Plan (NAP). Ministry of Forests and Environment, Kathmandu

<sup>5</sup> Nepal's NDC

<sup>6</sup> Economic Survey 2019/20. Ministry of Finance, Nepal

<sup>7</sup> Nepal's 2nd National Communication

<sup>8 & 9</sup> Nepal's NDC

environment and climate change issues in all seven Provinces.

For high-level policy guidance, Nepal has an Environment and Climate Change Council headed by the Prime Minister, and an Inter-Ministerial Coordination Committee on climate change, including a REDD Coordination and Monitoring Committee at the political levels and a Multi-stakeholder Climate Change Initiatives Coordination Committee and a REDD Working Group chaired by Secretaries of the concerned ministries. The REDD Multi-Stakeholder Forum acts as an outreach and communication platform for on-the-ground implementation.

There are also climate change networks managed by civil society organisations that contribute to generating and sharing knowledge on climate change and its impacts.<sup>10</sup>

Nepal has embedded climate change across its ministries and planning frameworks and highlighted the contribution of non-governmental and community-based organisations with regard to strengthening national and local entities to provide services to climate vulnerable communities.

## 2.2. Policy framework

Nepal has developed a number of policies to address various aspects of climate change, in keeping with their commitment to addressing climate change in a cross-cutting manner. The country adopted a Climate Change Policy in 2011 that has objectives of, inter alia, reducing GHG emissions by promoting the use of clean energy; enhancing the climate adaptation and resilience capacity of local communities for optimum utilisation of natural resources and their efficient management; and adopting a low-carbon development path by pursuing climate-resilient socio-economic development.

In addition, to Nepal's Climate Change Policy, the country adopted a Forestry Sector Strategy (2016 – 2025) to enhance Nepal's forest carbon stock by at least 5 percent by 2025 compared to 2015 levels and to decrease mean annual deforestation. It also aims to put in place a forest carbon trade and payment mechanism and protect 0.2 million hectares of forests. An Energy Policy that aims for maximum utilisation of hydropower to meet domestic electricity demands and to accelerate renewable energy services also exists, along with a National Rural Renewable Energy Programme that is under implementation and provides the framework for energy access and energy efficient technologies to local and indigenous communities.

## 3. UNFCCC participation and involvement

Nepal has been a Party to the UNFCCC since 1994 and has actively participated in the climate change activities under the UNFCCC. The table below provides an inexhaustive list of relevant activities undertaken by Nepal since 1992.

Activities	Status
UNFCCC	Signature 1992 Ratification 1994
Kyoto Protocol	Signature Ratification 2005
Paris Agreement	Signature 2016 Ratification 2016
National Adaptation Programme of Action	Submitted 2010
Intended Nationally Determined Contribution	Submitted 2015
First Nationally Determined Contribution	Submitted 2016
Updated Nationally Determined Contribution	Submitted 2020
First National Communication	Submitted 2004
Second National Communication	Submitted 2014
Third National Communication	In progress
Biennium Update Report	Not Submitted
Technology Needs Assessment	Participated
First Nationally Appropriate Mitigation Action	Submitted 2008
Biennial Report	Not submitted
Long Term Low Carbon Strategy	In progress
Talanoa Dialogue	Participated

<sup>10</sup> [Nepal's NDC](#)



## CASE STUDY - NEPAL cont'd

### 4. Key findings based on survey response

#### 4.1. Use of UNFCCC guidance

UNFCCC guidance has positively contributed to national climate change policy in Nepal as UNFCCC guidance has led to the development of national climate change documents such as Nepal's National Adaptation Programme of Action (NAPA) and its NDC.

In updating its NDC, Nepal used UNFCCC guidance on information to facilitate clarity, transparency and understanding (ICTU) from Decision 4/CMA.1. NDC guidance on adaptation contained in Decision 9/CMA.1 was also incorporated. The 2006 IPCC guidelines were also used to prepare Nepal's National Communications.

Nepal also organised a national level Talanoa Dialogue which helped to engage wider stakeholders and generate political momentum for enhanced climate action and an updated NDC.

#### 4.2. Facilitating factors that supported use of UNFCCC guidance

Experts on the UNFCCC process helped to facilitate the translation of guidance so that it could be incorporated at the national level.

#### 4.3. Challenges in use of UNFCCC guidance

A major challenge for Nepal with regard to incorporation of UNFCCC guidance is lack of technical and sustained capacity to incorporate UNFCCC guidance into national processes. In addition, challenges with gathering sectoral data and emissions factors have also affected the use of guidance according to the survey responses.

The country also lacks a mechanism to collect and store data, which has made it difficult to meet UNFCCC requirements, presumably transparency related requirements and guidance.

#### 4.4. Additional factors that can facilitate incorporation into national processes

Strengthening institutions and building expertise in understanding and translating guidance to be used at national level is an important factor that can facilitate incorporation of guidance into national processes per Nepal's survey response.

An institutional mechanism for data collection would also benefit the country's ability to incorporate UNFCCC guidance.

#### 4.5. Role of External Support in facilitating use of guidance e.g. CAEP and regional arrangements

According to Nepal's response, external support played a positive role in facilitating the use of UNFCCC guidance in domestic plans and processes. However, no detail was provided on how much support was provided in the past and the nature of that support.

With regard to developing an institutional mechanism to collect data and improve data quality, the survey response stated that international support can play an important role.

### 5. Conclusions

The conclusions for Nepal and Burkina Faso are somewhat similar, possibly in part due to the similarities that the two countries share as landlocked and least developed countries. Nepal also faces capacity constraints and relies on external support for incorporating UNFCCC guidance into national plans and processes. Despite this, the country has been very active in the UNFCCC and has been able to develop climate change plans and policies on the national level using UNFCCC guidance.





# CASE STUDY - SAMOA

## 1. National circumstances<sup>1</sup>

### 1.1 Context

Samoa, a Small Island Developing State of volcanic origin in the South Pacific, measuring approximately 2,900 square kilometers, with a 2020 population of approximately 198,000 and dependent on natural resources, is highly vulnerable to climate change. Climate change impacts are already being experienced and constitute a major threat to national development.

Samoa became a party to the United Nations Framework Convention on Climate Change (UNFCCC) in 1994, ratified the Kyoto Protocol (KP) in 2000 and the Paris Agreement (PA) in 2016. Samoa has been a low carbon economy and commits to maintain that profile. Samoa submitted its Nationally Determined Contribution (NDC) in 2016, which commits the country to contribute to global mitigation efforts while pursuing broader sustainable development objectives in line with the SAMOA pathway and Sustainable Development Goals. In 2007 the total greenhouse gas emissions were estimated at 352 Gg of carbon dioxide equivalent with removals of carbon from agriculture forestry and other land uses of 785 Gg carbon dioxide equivalent thus making Samoa a net sink for carbon emissions. The national energy mix was based on 50 percent of imported fossil fuels and 50 percent on renewable energy. There is significant renewable energy potential in applications from solar, wind, waste and biomass. Samoa has committed to a renewable energy target for electricity generation of 100 percent by 2025.

Climate change has been deemed as an existential threat to Samoa due to the country's geographical location, limited fiscal flexibility and dependence on international trade, overseas aid and remittances. Samoa is classified as a least developed country dependent on the primary sectors of agriculture, forestry and fisheries.

Tourism is emerging as the country's largest source of foreign exchange. Overseas remittances are a significant source of foreign exchange. Thus, the country's financial capacity for climate financing is severely constrained, especially given the impact of the COVID-19 pandemic. There is also limited flexibility for investment in the private sector. The country's debt to GDP ratio stood at 45 percent of GDP in 2020. The GDP growth rates hovered around the 2 percent level since 2017. The impact of the pandemic in 2020 and beyond, while not yet quantified, is expected to further debilitate the country's economic prospects. Climate change impacts are already being felt and the increased frequency and intensity of extreme climatic events is recognised as the key vulnerability issue facing Samoa.<sup>2</sup>

### 1.2 Temperature

Samoa is characterised by near uniform temperatures throughout the year ranging from 24 degrees Celsius to 34 degrees Celsius on a daily basis. The historical climate trends and projections show an increase in air and sea surface temperatures with significant increase in maximum air temperatures projected by 2050. Maximum temperature is expected to increase by 0.7 percent by 2050. Ocean acidification has been identified as a major impact area for Samoa as we move to 2050.

### 1.3 Rainfall

Samoa has high rainfall levels and high humidity but is also vulnerable to long dry spells. The rainfall predictions show an increased frequency of extreme daily rainfall events. The trend shows a significant intensification of rainfall with the potential for dangerous flooding events. Rainfall is expected to increase by 1.25 percent by 2050. Droughts are expected to be longer lasting and more frequent.

<sup>1</sup> Information on national circumstances gleaned mainly from Samoa's Second National Communications.

<sup>2</sup> [www.economy.com/samoa](http://www.economy.com/samoa)

## **1.4 Hurricanes**

The occurrence of tropical cyclones is a given phenomenon in Samoa. The historical trend shows an increase in frequency and intensity of tropical cyclones. Three intense cyclones impacted Samoa in the last 20 years which wrought havoc on the economy. In 1990 and 1991 respectively, the damage was estimated at 300 percent of the country's gross domestic product with 90 percent of the infrastructure destroyed. The projection shows a shift to even stronger tropical cyclones by 2050. In Samoa over 70 percent of the population and the critical infrastructure are located in the coastal zone and highly susceptible to storm surges and high wind speeds. Extreme wind gusts are expected to increase by 7 percent by 2050.

## **1.5 Sea level rise**

The historical trend shows rising sea levels at a rate of 5.2 mm per year. It is projected that sea level rise for Samoa can be as much as 36 cm by year 2050. Sea level rise and associated storm surges impacts are expected to bring significant coastal destruction with loss of coastal ecosystems such as coral reefs, sea grass beds and mangroves, and critical infrastructure and livelihoods. Over 70 percent of Samoa's population and infrastructure are located on the coasts thus posing a significant climate risk.

# **2. Institutional & policy framework**

## **2.1 Policy framework**

Samoa elaborated a Strategy for the Development of Samoa 2016/17-2019/20 as the main planning document for climate change actions with a 5-year programme of work to achieve the country's sustainable development priorities, to improve local resilience, coastal zone management and adaptation programmes. Specifically, Samoa commits to adopt policies to minimise greenhouse gas emissions, implementing practical adaptation projects in vulnerable communities, conducting detailed systematic observation of climate, educating people and increasing the resilience of the natural environment.

The National Climate Change Policy 2007 outlines the country's responses to climate change and provides the national framework to mitigate and adapt to climate change. Samoa has also elaborated a National Adaptation Programme of Action, a National Energy Policy and a National Strategy for Greenhouse Gas Abatement. Sectoral policies have been elaborated in the key sectors of infrastructure, biodiversity, land use, waste, logging, heritage, water, housing, forestry and sand mining. Samoa has also signed on to a number of regional policies relevant to addressing climate change. Samoa hosted the Third International Conference on Small Island Developing States in 2014.

## **2.2 Institutional framework**

The management of Samoa's climate change portfolio has been assigned to the Ministry of Natural Resources and Environment where a National Climate Change Country Team of technical experts has been established to advise the Minister responsible for climate change. A Climate Change Division has been established in the Ministry to coordinate climate change activities.

Samoa has taken a sectoral approach to climate change programming and focal points are established in each sector to coordinate activities on the sectoral level.

Samoa relies heavily on regional institutions and mechanisms to assist in advancing the work on climate change and has signed onto several regional policies and initiatives relating to climate change programming. Key regional policies and initiatives include the Pacific Plan for Strengthening Regional Cooperation and Integration, the Framework for Resilient Development in the Pacific, Pacific Island Energy Policy, Solid Waste Management Strategy for the Pacific Region, the Pacific NDC Hub and the Pacific Centre for Renewable energy and Energy Efficiency. The Secretariat of the Pacific Regional Environment Programme (SPREP) headquartered in Samoa provides technical backstopping and coordination support to Samoa. Samoa also benefits from the coordination and collaboration framework for



## CASE STUDY - SAMOA cont'd

climate action established by the Alliance of Small Island States (AOSIS).

### 3. UNFCCC participation and involvement

Samoa has actively participated in UNFCCC processes since becoming a signatory to the Convention in 1992. Samoa has been an early adopter of agreed activities under the Convention. The table below provides an inexhaustive list of relevant activities undertaken by Samoa since signing the Convention in 1992.

Activities	Status
UNFCCC	Signature 1992 Ratification 1994
Kyoto Protocol	Signature Mar 19, 1998 Ratification Nov 22, 2000
Doha Amendment	Acceptance September 18, 2015
Paris Agreement	Signature Apr 22, 2016, Ratification Apr 22, 2016
National Adaptation Programme of Action	Submitted 2004
Intended Nationally Determined Contribution	Submitted Oct 1, 2015
First Nationally Determined Contribution	Submitted Apr 4, 2016
Updated Nationally Determined Contribution	Work ongoing
First National Communication	Submitted Aug 24, 2009
Second National Communication	Submitted Jan 28, 2013
Third National Communication	Work ongoing
Biennial Update Report	Not Submitted
Technology Needs Assessment	Completed
National Capacity Self Assessment	Completed
First Nationally Appropriate Mitigation Action	Completed
Long Term Low Carbon Strategy	Committed
Multilateral Assessment	Participated
Talanoa Dialogue	Participated
ICA/IAR	Participated
FSV	Participated

### 4. Key findings from survey results

#### 4.1 Use of UNFCCC guidance

Samoa takes a sectoral approach with respect to the use of UNFCCC guidelines. Climate change focal points established in each sector are charged with the responsibility to oversee the implementation of UNFCCC guidance which are incorporated into sectoral and national plans and programmes.

#### 4.2 Facilitating factors that supported UNFCCC guidance:

The Talanoa Dialogue (TD) was cited as a facilitating factor that assisted Samoa with respect to incorporation of UNFCCC guidance. The experiences shared during the Dialogue were deemed critical for

enhanced clarity and understanding. In particular, the TD framework was used to elaborate a more ambitious updated NDC. Samoa also used UNFCCC and IPCC guidelines and guidelines from other credible sources as appropriate. Samoa indicated a strong commitment to fulfil its obligations as a member of the UNFCCC.

#### 4.3 Challenges in use of UNFCCC guidance

Samoa cited limited information and data for baseline determination and limited capacity and knowledge by nationals on the UNFCCC processes as the major challenges in the use of UNFCCC guidelines. The use of UNFCCC guidelines for the completion of the Third National Communication was referred to as an example.

#### 4.4 Additional factors that can facilitate incorporation of UNFCCC guidance

No additional factors were stated.

#### 4.5 Role of external support in facilitating use of guidance

External support from regional initiatives including the work of (SPREP) and the NDC Pacific Hub was cited as critical for facilitating use of guidance as most of the UNFCCC processes are being channeled through regional organisations. Samoa also indicated that stakeholder analysis and involvement of key stakeholders were also key mechanisms for generating external support. The imperative was making sure that the right stakeholders are participating in the process and in this way the ability to implement recommendations emanating from the GST will be enhanced.

## 5. Conclusions

Samoa, a multi island Small Island Developing State, classified as a Least Developed Country is highly vulnerable to climate change and is already experiencing the negative impacts on the socio-economic development prospects of the country.

Samoa is traditionally a low carbon emitting economy and is indeed a net sink for carbon emissions. Samoa has ratified all instruments under the UNFCCC in a timely manner and has demonstrated its fullest commitment to achieve the objectives of the UNFCCC and the PA. Climate change impacts are recognised as the key vulnerability issues facing Samoa. Samoa has established an appropriate policy framework for climate action and the national institutional framework is bolstered by several regional programmes and initiatives that Samoa has signed onto to support its efforts at addressing climate change. Climate change has been deemed as an existential threat to Samoa so the national responses to UNFCCC decisions have been swift and Samoa has actively participated in the Convention processes.

Samoa has demonstrated the commitment and has the basic mechanisms in place to implement the relevant recommendations from the GST results. There are however some factors that can enhance participation and involvement including enhancing the potential for the use of GST results for raising ambition and enhancing implementation. These include the following:

- Elaboration of a targeted institutional strengthening and capacity building programme focusing on promoting technical capacity, data management, institutional collaboration, expansion of pool of nationals to be immersed into the UNFCCC process and maintain the momentum for urgent and ambitious actions on the national and regional levels.
- Mainstreaming climate change actions in regional and national policies and programmes through focused leadership at all levels of society.
- Elaboration of comprehensive and continuous education, public awareness and outreach with inclusive and engaging whole of society approach to demonstrate the expressed linkages between ambitious climate action emanating from UNFCCC processes and national socio-economic development.
- Determining and implementing the financing capacity geared to enhance understanding, participation and involvement of nationals in the UNFCCC processes and to implement COP decisions.



CLIMATE<sup>+</sup>  
ANALYTICS

