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First published March 2021

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This guide is written by Annela Anger-Kraavi and Nicholas Chan. We are grateful to Balisi Gopolang, Keith Anderson, and Jennifer Unelius for their comments and suggestions. All errors remain our own.

Funding Partners

This project is supported by SIDA.



Member Organisations



FOREWORD

For over a decade, the European Capacity Building Initiative (ecbi) has adopted a two-pronged strategy to create a more level playing field for developing countries in the UN Framework Convention on Climate Change (UNFCCC): training negotiators from developing countries; and providing opportunities for senior negotiators from developing countries and Europe to interact, and build mutual trust.

The first part of the strategy focuses on providing training and support to new developing country negotiators, particularly from Least Developed Countries. The climate change negotiations are often technical and complex, and difficult for new negotiators (who are most often not climate specialists) to fully grasp even over a period of two or three years. We hold regional training workshops to bring them up to speed on the negotiations. We also organise training workshops before each Conference of the Parties (COP) to the UNFCCC, covering topics specific to that COP. To ensure continuity in our capacity building efforts, we offer bursaries to a few women negotiators to attend the negotiations and represent their country and region/ grouping. Finally, we help negotiators build their analytical capacity through our publications, by teaming them up with global experts to author policy briefs and background papers.

This strategy has proven effective over time. "New" negotiators that trained in our early regional and pre-COP workshops have risen not only to become senior negotiators in the process, but also leaders of regional groups and of UNFCCC bodies and committees, and ministers and envoys of their countries. These individuals remain part of our growing alumni, and are now capacity builders themselves, aiding our efforts to

train and mentor the next generation. Their insights from once being new to the process themselves have helped us improve our training efforts.

The second ecbi strategy relies on bringing senior negotiators from developing countries and from Europe together, at the annual Oxford Seminars and the Bonn Seminars. These meetings provide an informal space for negotiators to try to understand the concerns that drive their specific national positions, and come up with solutions to drive the process forward. They have played a vital role in resolving some difficult issues in the negotiations.

Following the adoption of the Paris Agreement in 2015, ecbi produced Guides to the Agreement in English and in French. Since they proved popular with both new and senior negotiators, we developed this series of thematic Pocket Guides, to provide negotiators with a brief history of the negotiations on the topic; a ready reference to the key decisions that have already been adopted; and a brief analysis of the outstanding issues from a developing country perspective. These Guides are mainly web-based and updated frequently. Although we have printed copies of the English version of the Guides due to popular demand (please write to us if you would like copies), the online versions have the added advantage of hyperlinks to access referred material quickly.

As the threat of climate change grows rather than diminishes, developing countries will need capable negotiators to defend their threatened populations. The Pocket Guides are a small contribution to the armoury of information that they will need to be successful. We hope they will prove useful, and that we will continue to receive your feedback.

Anju Sharma

Head, Communications and Policy Analysis Programme, ecbi

GLOSSARY

AWG-LCA	Ad Hoc Working Group on Long-term Cooperative
	Action
COP	Conference of the Parties
GDP	Gross Domestic Product
GHG	Greenhouse Gas
ILO	International Labour Organization
IPCC	Intergovernmental Panel on Climate Change
KCI	Katowice Committee of Experts on the Impacts of the Implementation of Response Measures
NDC	Nationally Determined Contribution
OPEC	Organization of the Petroleum Exporting Countries
SBI	Subsidiary Body for Implementation
SBSTA	Subsidiary Body for Scientific and Technological Advice
SCCF	Special Climate Change Fund
SDGs	Sustainable Development Goals
UNFCCC	United Nations Framework Convention on Climate Change
WTO	World Trade Organization

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WHAT ARE RESPONSE MEASURES?

Response measures are actions, policies, and programmes that countries, as Parties to the UN Framework Convention on Climate Change (UNFCCC), undertake in response to climate change, mostly for mitigation of greenhouse gas (GHG) emissions. Examples include emissions trading schemes, carbon taxes and levies, subsidies to promote low-carbon development, carbon border adjustment measures, or carbon labelling.

Response measures can be:

- Unilateral (implemented in one country, like the carbon dioxide tax in Chile).
- Bilateral (implemented in two countries, like Japan's Joint Crediting Mechanism, which covers a number of countries but works bilaterally).
- Multilateral (implemented simultaneously in many countries, like the EU Emissions Trading System, that covers the EU Member States, but also some neighbouring countries).

Response measures can also be designed and implemented at subnational, regional, or company level, and be voluntary in nature (for instance, voluntary offsetting schemes).

The term 'response measures' is not in regular use outside of the UNFCCC process, and is not easily understood by policymakers and stakeholders even within the process. This Guide aims to increase understanding of the topic, particularly among climate negotiators, to facilitate the UNFCCC negotiations on response measures.

WHAT ARE THE IMPACTS OF THE IMPLEMENTATION OF RESPONSE MEASURES?

As in the UNFCCC process, the term 'response measures' is used in this Pocket Guide as shorthand for the "*impacts of the implementation of response measures*", rather than the actual response measures themselves.

The implementation of measures to address climate change can result in social, economic, political, and environmental impacts. Social impacts include changes in equality levels between men and women, impacts on social relationships, health, education, ethnic minorities and social groups, indigenous peoples, and access to rights. Economic impacts include national or regional impacts on GDP, employment, and the income of workers and their families. Environmental impacts include changes in pollution levels, and biodiversity impacts.

Impacts of response measures can be thought of as 'secondorder' impacts of responses to climate change (the first-order impact is the reduction of GHG emissions). These second order impacts can be positive or negative. Negative impacts can include, for example, loss of existing jobs and incomes, and increase in gender inequalities. Positive impacts can include, for example, cleaner environment, increased energy security, and the creation of new jobs. Positive impacts are also commonly called 'co-benefits'. The Intergovernmental Panel on Climate Change (IPCC) defines co-benefits as:

"The positive effects that a policy or measure aimed at one objective might have on other objectives, thereby increasing the total benefits for society or the environment. Cobenefits are often subject to uncertainty and depend on local circumstances and implementation practices, among other factors. Co-benefits are also referred to as ancillary benefits."1

A review of the scientific literature indicates that improved air quality and reduced pollution levels are the most researched co-benefits, but there is an increasing understanding of cobenefits in other areas such as diet and health, energy security, and economic performance and efficiencies.² For instance, reducing fossil fuel power generation, while reducing carbon emissions, will also reduce particulate matter emissions that causes respiratory diseases. One recent study has found that such air pollution from coal, petrol, and diesel was responsible for 18% of global deaths in 2018 – slightly less than one in five of all global deaths that year.³

The 'co-effects' (negative or positive side-effects) discussed above result from mitigation actions, but there could be also adaptation co-effects, finance co-effects, technology transfer co-effects, and so on. The response measures workstream under the UNFCCC has been primarily focused on understanding co-effects that result from climate change mitigation. (This is distinct from the mitigation co-benefits of adaptation actions, recognised in Article 4.7 of the Paris Agreement).

Issues related to response measures are also frequently referred to as 'trade-offs' and 'synergies'. The IPCC's special report on *Global Warming of 1.5°C*, for instance, states that

"[m]itigation options consistent with 1.5°C pathways are associated with multiple synergies and trade-offs across the Sustainable Development Goals (SDGs)."⁴ While much of the prevailing discussion on response measures has focused on negative impacts, it has also sought to highlight positive impacts. Recently, for instance, there been a greater interest in the World Health Organization's work on health benefits of climate policies, and the work of the International Labour Organization (ILO) on green employment.

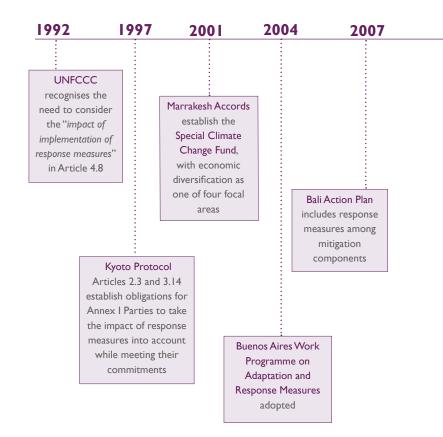
In addition, the impacts of response measures can be broadly categorised either as **domestic** (felt in countries where the measure was implemented, such as the loss of jobs) or as **cross-border** (felt by other countries that did not implement that particular measure, like domestic climate policies that impact global trade in agricultural commodities).

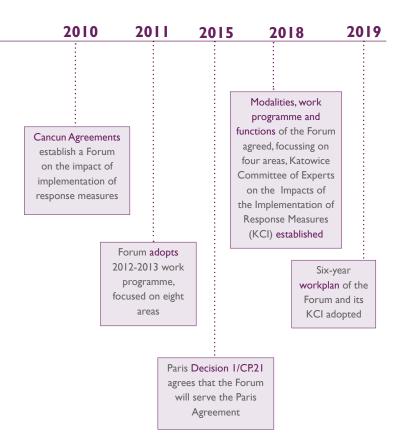
Assessments can be carried out to understand the impacts of implementing response measures, either before a measure is implemented (*ex ante*) or after its implementation (*ex post*). *Ex ante* assessments are deemed better as they allow, to a certain extent, for the impacts to be understood and addressed before they appear, to avoid or minimise negative impacts and maximise positive impacts. *Ex post* assessments allow an understanding of impacts that have already occurred, but measures to address these could be more costly. There are various methods that can be used for impact assessments, which can be broadly divided into quantitative (for example, economic modelling, and cost-benefit analysis) and qualitative (for example, interviews, surveys, and textual analysis).

If negative social, political, economic, or environmental impacts of response measures are ignored or left unaddressed, they can become obstacles to implementing climate change policies and measures, and to increasing climate ambition. Therefore, the impacts of response measures were taken into account in the UNFCCC from the start, as discussed in the next section.

For instance, efforts to reduce emissions from deforestation and forest degradation in developing countries under the UNFCCC can result in emissions reductions and co-benefits, but at the same time disempower indigenous peoples and other traditional local users of forests, or have negative impacts on biodiversity. Therefore, a reporting system on social and environmental safeguards was introduced under the UNFCCC to reduce the negative impacts of such projects.

TIMELINE





WHAT IS THE HISTORY OF RESPONSE MEASURES UNDER THE UNFCCC?

The UNFCCC, adopted in 1992, was drafted and negotiated at a time when the concept of 'sustainable development' was gaining broader acceptance, following the adoption of the report of the World Commission on Environment and Development, *Our Common Future*, in 1987. The report, and the concept of sustainable development, sought to promote a balanced approach to environmental conservation, and social and economic development.

The Preamble of the UNFCCC states that:

"...responses to climate change should be coordinated with social and economic development in an integrated manner with a view to avoiding adverse impacts on the latter, taking into full account the legitimate priority needs of developing countries for the achievement of sustained economic growth and the eradication of poverty."

Article 3.4 of the UNFCCC states that Parties "*have a right to, and should, promote sustainable development*". Article 3.5 highlights the importance of the open and supportive economic system (openness also implies international trade flows) for economic growth in developing countries:

"The Parties should cooperate to promote a supportive and open international economic system that would lead to sustainable economic growth and development in all Parties, particularly developing country Parties, thus enabling them better to address the problems of climate change."

This Article addresses climate policy measures that could be seen creating trade barriers, or 'green protectionism'. These include unilateral measures that may be imposed by one country or a group of countries, without multilateral agreement. Examples of such measures include:

- The European Commission's proposal to include international aviation in the EU Emissions Trading Scheme (ETS) in 2012, which would have also subjected international airlines travelling to and from EU destinations to buying allowances. This was opposed by many developing countries that saw this as constituting a border tax.⁵
- Eco-labelling systems and standards, which could discriminate against particular goods based on elements of their manufacture and transport. This was also viewed with concern by disadvantaging countries that are geographically distant from export markets (raising air miles and transport emissions), or countries with older, more carbon-intensive forms of energy production that went into manufacturing a given product.⁶

Article 4.8 of the UNFCCC calls for "full consideration to what actions are necessary under the Convention... to meet the specific needs and concerns of developing country Parties arising from the adverse effects of climate change and/or the impact of the implementation of response measures", especially on, among others, "[c]ountries whose economies are highly dependent on income generated from the production, processing and export, and/or on consumption of fossil fuels and associated energyintensive products" (Article 4.8.h).

Article 4.10 further states that:

"The Parties shall, in accordance with Article 10, take into consideration in the implementation of the commitments of the Convention the situation of Parties, particularly developing country Parties, with economies that are vulnerable to the adverse effects of the implementation of measures to respond to climate change. This applies notably to Parties with economies that are highly dependent on income generated from the production, processing and export, and/or consumption of fossil fuels and associated energy-intensive products and/or the use of fossil fuels for which such Parties have serious difficulties in switching to alternatives."

The imperative for developing countries was to avoid a 'double burden of climate change impacts', first from the direct impacts of climate change, and then from impacts caused by national or global responses to climate change. The response measures negotiations under the UNFCCC have often been politically contentious. Part of the reason for this is that much of the initial emphasis on response measures was advanced by oil-exporting developing countries, who were seeking for recognition of the impacts of reducing global fossil fuel consumption on their own economies. Emphasising such concerns was perceived by some other countries as slowing climate action.⁷

СОРЗ, КУОТО

During the 1990s, some oil-exporting countries proposed that they should be compensated for declining revenues from their fossil fuel exports due to climate change mitigation measures undertaken in other countries. A proposal to establish such a 'compensation mechanism' was advanced during the Kyoto Protocol negotiating process, to assess lost income from reduced fossil fuel exports and provide support to affected countries.⁸ This proposal was opposed by developed countries, who thought it would penalise mitigation actions that they were taking in their Protocol commitments, and by some other developing countries, such as Small Island Developing States (SIDS), who saw such a mechanism as weakening overall mitigation efforts to reduce future climate impacts.

While the compensation mechanism itself was not included in the Kyoto Protocol, Article 2.3 of the Protocol called on countries with commitments under the Protocol to:

"...strive to implement policies and measures under this Article in such a way as to minimize adverse effects, including the adverse effects of climate change, effects on international trade, and social, environmental and economic impacts on other Parties, especially developing country Parties and in particular those identified in Article 4, paragraphs 8 and 9, of the Convention, taking into account Article 3 of the Convention."

Article 3.14 of the Protocol similarly calls on the countries to:

"...strive to implement the commitments [...] in such a way as to minimize adverse social, environmental and economic impacts on developing country Parties, particularly those identified in Article 4, paragraphs 8 and 9, of the Convention."

Article 3.14 also calls on the Conference of the Parties serving as the Meeting of the Parties to this Protocol (CMP) to:

"consider what actions are necessary to minimize the adverse effects of climate change and/or the impacts of response measures on Parties referred to in those paragraphs. Among the issues to be considered shall be the establishment of funding, insurance and transfer of technology."

Alongside the Protocol, Parties also adopted separately Decision 3/CP.3 that mandated further work to operationalise Article 4.8 of the Convention in a broader way than the Protocol commitments.⁹ This Decision requested the Subsidiary Body on Implementation (SBI) to "...undertake a process to identify and determine actions necessary to meet the specific needs of developing country Parties, ..., arising from adverse effects of climate change and/or the impact of the implementation of response measures. Issues to be considered shall include actions related to funding, insurance and transfer of technology".

As part of the Kyoto Protocol's reporting processes (in Decision 15/CMP.1 and Decision 31/CMP.1), Annex I Parties are required to submit information on how they are meeting the requirement in Article 3.14 to implement their overall commitments in a way that minimises the impacts of these response measures. This information is included in their annual National Inventory Reports, and since the entry into force of the Protocol in 2004, have been compiled by the UNFCCC Secretariat and published online. For instance, in the most recent reports submitted (in 2020), 39 of out 43 reports included information on minimising the impacts of response measures.¹⁰

COPIO, BUENOS AIRES

UNFCCC Article 4.8 established the need to take action on both the "adverse effects of climate change <u>and/or</u> the impact

of the implementation of response measures". This created a procedural linkage between discussions on response measures, and those of adaptation.¹¹ Subsequent decisions to operationalise action on adaptation under the Convention therefore combined discussions on adaptation and response measures, with a series of decisions and work programmes addressing the two subjects together.

In 2004, for instance, Decision 1/CP.10 launched the Buenos Aires work programme on adaptation and response measures.¹² This linkage was a source of considerable historical tension, including among developing countries, as it required parallel advances on considering both the response measures and adaptation agendas, even though the substantive issues are quite different from each other.

COPI3, BALI

Over time, the linkage between adaptation and response measures has weakened, with a separate workstream developed on response measures as a component of mitigation action, and adaptation gaining recognition as a primary topic of the climate negotiations.¹³

The topic of response measures was therefore identified as a separate sub-item under the mitigation component of the 2007 Bali Action Plan, which launched the Ad-Hoc Working Group on Long-term Cooperative Action (AWG-LCA).¹⁴ The AWG-LCA was mandated to consider the post-2012 climate architecture, after the first commitment period of the Kyoto Protocol came to an end. The successive rounds of AWG-LCA negotiations, up to and after the 2009 Copenhagen Conference, consequently included a response measures spin-off group.

COPS 16, 17, AND 18 IN CANCUN, DURBAN, AND DOHA

While no agreement was possible at Copenhagen, COPs 16, 17 and 18 in Cancun, Durban, and Doha respectively (in 2010, 2011, and 2012), agreed Decisions 1/CP.16, 2/CP.17 and 1/CP.18, which included paragraphs on response measures, mostly reaffirming principles for cooperation in general terms.

During these negotiations on a post-2012 climate architecture in the AWG-LCA from 2008 onwards, the topic of response measures was also discussed across a number of UNFCCC agenda items: under Kyoto Protocol Article 2.3 and 3.14 obligations; under the Ad-Hoc Working Group on the Kyoto Protocol (AWG-KP), working on the Protocol's second commitment period; under the AWG-LCA; and during discussions on implementing Decision 1/CP.10.

To consolidate these discussions within a common institutional setting and avoid duplications, the Cancun Agreements decided to provide a "forum on the impact of the implementation of response measures" (§93).¹⁵ The Chairs of the Subsidiary Body for Scientific and Technological Advice (SBSTA) and the SBI were asked to convene the forum, and develop a work programme, with a view to adopting, at COP17, "modalities for the operationalization of the work programme and a possible forum on response measures".¹⁶

The work programme was jointly convened by the Chairs of the Subsidiary Bodies (SBs) at the two SB sessions in 2011, as special events. Further negotiations at COP17 resulted in Decision 8/CP.17, which mandated the forum to continue over the next two years to discuss eight elements:

 Sharing of information and expertise, including reporting and promoting understanding of positive and negative impacts of response measures.

- Cooperation on response strategies.
- Assessment and analysis of impacts.
- Exchanging experience and discussion of opportunities for economic diversification and transformation.
- Economic modelling and socio-economic trends.
- Relevant aspects relating to the implementation of Decisions 1/CP.10, 1/CP.13, and 1/CP.16, and Articles 2.3 and 3.14 of the Kyoto Protocol.
- Just transition of the workforce, and the creation of decent work and quality jobs.
- Building collective and individual learning towards a transition to a low GHG emitting society.¹⁷

Each of these elements was the subject of a dedicated Forum workshop, the outcomes of which were summarised by the Co-Chairs of the SBs. A synthesis paper and technical paper was produced by the Secretariat on the work of the forum workshops and submissions by Parties.¹⁸

Issues around UNFCCC Article 3.5 (impacts on international trade) were also part of the negotiations leading up to the Paris Agreement (for instance, see Decision 1/CP.18), but agreement was not possible, partly because developed countries and some developing countries argued that this issue comes under the mandate of the World Trade Organisation (WTO), not UNFCCC.¹⁹

For instance in Doha, some developing countries suggested the inclusion of the following language in the conference outcome document: "Decides that developed country Parties shall not resort to any form of unilateral measures against goods and services from developing country Parties on any grounds related to climate change, including protection and stabilization of the climate, emissions leakage and/or the cost of *environmental compliance*^{",20} This was rejected by developed countries as going beyond the mandate of the UNFCCC.²¹

COPI9, WARSAW

While the Forum and its work programme were mandated to be reviewed at COP19 in 2013, Parties disagreed on the institutional process to follow the forum. Some Parties proposed a more intensive 'mechanism' while others proposed a more streamlined 'dialogue'. No consensus was reached, and these negotiations continued until COP21 in Paris.

COP21, PARIS

The response measures negotiations reached consensus in COP21. The preamble of the Paris Agreement recognises that "*Parties may be affected not only by climate change, but also by the impacts of the measures taken in response to it*". Article 4.15 of the Paris Agreement calls for Parties to take into consideration the concerns of Parties with economies most affected by the impacts of response measures, particularly developing country Parties, while implementing the Agreement.

The preamble to the Paris Decision 1/CP.21 also acknowledges the specific needs and concerns of developing country Parties arising from the impact of the implementation of response measures. Parties agreed that "...the forum on the impact of the implementation of response measures, [...] ,shall continue, and shall serve the Paris Agreement" (§33). It called on SBSTA and SBI to recommend modalities, a work programme, and functions of the Forum (§34). The Ad Hoc Working Group on the Paris Agreement (APA) was also requested to consider information on the social and economic impact of response measures (§94) while developing recommendations for modalities, procedures, and guidelines for transparency of action and support, under Article 13 of the Paris Agreement.

Paris Decision 11/CP.21 also agreed to continue and improve the Forum, as a platform for Parties to share information, experiences, case studies, best practices and views; and to facilitate assessment and analysis of the impact of the implementation of response measures, with a view to recommending specific actions.²² It was agreed to focus work under the improved Forum on, *inter alia*, the provision of concrete examples, case studies, and practices to enhance the capacity of Parties, in particular developing country Parties, to deal with the impact of the implementation of response measures. A three-year work programme for the Forum was agreed, focused on two areas:

- Economic diversification and transformation.
- Just transition of the workforce, and the creation of decent work and quality jobs.

Box I: Response measures in NDCs

A number of Nationally Determined Contributions (NDCs) include concerns that are related to response measures, though most do not use the term 'response measures' (arguably reflecting a narrow understanding of the term). Of the 191 initial NDCs submitted by Parties,

- 5 use the term 'response measures'.
- 23 include references to co-benefits.
- 5 include references to adaptation co-benefits.
- 7 include references to both, adaptation and other co-benefits.
- 33 include references to trade measures that foster mitigation.

Source: NDC Explorer

The UNFCCC Secretariat was asked to prepare a guidance document to assist developing countries to assess the impact of the implementation of response measures, including guidance on modelling tools, and technical materials to assist developing country Parties in their economic diversification initiatives. Finally, the SBs were asked to review the work of the Forum every three years.

COP22, MARRAKECH

At COP22 in 2016, an Ad Hoc Technical Expert Group (TEG) was established to elaborate on technical work of the two areas contained in the work programme. The Group met during SB46, in May 2017, for two days (one day per work area).

COP24, KATOWICE

The functions, work programme and modalities of the Forum were adopted at COP24 in Katowice, in December 2018 (Decision 7/ CMA.1). The Decision also establishes a Katowice Committee of Experts on the Impacts of the Implementation of Response Measures (referred to as the Katowice Committee on Impacts, or KCI) to support the work of the Forum (§6). It calls for the meetings of the KCI to be held twice each year, for two days per meeting, in conjunction with SB sessions. (§7).

The work programme of the Forum, supported by the KCI, includes four areas of work:

- Economic diversification and transformation.
- Just transition of the workforce and the creation of decent work and quality jobs.
- Assessing and analysing the impacts of the implementation of response measures.
- Facilitating the development of tools and methodologies

to assess the impacts of the implementation of response measures.

It was decided that the Forum will develop a six-year work plan.

The modalities, procedures and guidelines for transparency of action and support (Decision 18/CMA.1) were also adopted in Katowice. They call on each Party whose Nationally Determined Contribution (NDC) consists of adaptation actions and/or economic diversification plans resulting in mitigation co-benefits consistent with Article 4.7 of the Paris Agreement to provide information necessary to track progress on the implementation and achievement of the domestic policies and measures implemented to address the social and economic consequences of response measures, including:

- Sectors and activities associated with the response measures.
- Social and economic consequences of the response measures.
- Challenges in and barriers to addressing the consequences.
- Actions to address the consequences.

\$90 of Decision 18/CMA.1 encourages all Parties to provide detailed information, to the extent possible, on the assessment of economic and social impacts of response measures.

The modalities for the global stocktake, adopted under Katowice Decision 19/CMA.1, note that the stocktake "...may take into account, as appropriate, efforts related to its work that... address the economic and social consequences and impacts of response measures" (§6.b.i).

Finally, \$19.e of Decision 20/CMA.1, which establishes the modalities and procedures of the Paris Agreement's Compliance Committee, calls on the Committee to take into account considerations related to the impacts of response measures while exercising its functions.

COP25, MADRID

The six-year workplan of the Forum and its KCI was adopted at COP25 in 2019, in Decision 4/CMA.2, along with the rules of procedure for KCI proposed by its first meeting in June 2019. To implement this workplan, the Forum and KCI may use the following modalities (Decision 7/CMA.1):

- Building awareness and enhancing information-sharing through the exchange and sharing of experience and best practices.
- Preparing technical papers, case studies, specific examples and guidelines.
- Receiving inputs from experts, practitioners and relevant organisations.
- Organising workshops.

Eleven activities were added to the workplan, to be implemented over twelve SB sessions, from SB52-SB63 (Annex II of Decision 4/CMA.2, and see Table 1 in Annex I of this Guide). Of these, four specifically refer to a just transition, while three refer to economic diversification. While most activities will be implemented during one or two SB sessions, two activities are open-ended. In addition, five activities mandated from other relevant decisions are listed in the workplan. These include inputs related to response measures for the first global stocktake, gender training, reporting, and reviews of the workplan.

While most of the workplan activities will be implemented in parallel by the Forum and KCI, the links between the two, and how any duplication of work will be avoided, has not yet been discussed.

During its second meeting in Madrid, KCI members exchanged views on lessons learned and best practices on analysis and assessment of positive and negative impacts of the implementation of response measures by Parties.

Following the postponement of SB52 due to the COVID-19 pandemic, the third meeting of KCI took place virtually in October 2020, and started work on implementing activities 1 and 4 (see Table 1). The KCI decided to add key messages and/ or recommendations from each of the activities implemented to its meeting reports for consideration by the Forum. KCI members also received gender training before the meeting, as an input to their discussions on integrating gender into the KCI's work.

WHY IS THE ISSUE OF RESPONSE MEASURES IMPORTANT FOR DEVELOPING COUNTRIES?

Policies implemented to reduce emissions in one country (such as carbon taxes, subsidies, energy reforms, green investments, cap-and-trade schemes, trade-related measures, standards and labelling) can lead to impacts in the implementing and in other countries (for example, on economic growth, income distribution, employment, environment, health, and food security).²³

For developing countries, the imperative has been to avoid a 'double-burden' – first due to climate change impacts, and then due to the impacts of response measures implemented in their own country, or in another country. Developing countries have also sought to maintain their own policy space to pursue national development strategies, and to avoid the use of measures that could be construed as transferring the burden of climate action onto them.

Therefore, Article 3.14 of the Kyoto Protocol calls on Annex I countries to strive to implement their mitigation commitments "*in such a way as to minimize adverse social, environmental and economic impacts on developing country Parties*". The Cancun Agreements confirm that developing countries that "would have to bear a disproportionate or abnormal burden... should be given full consideration".

This has been interpreted to mean that developing countries, with lower capacities to adjust and cope with response measures impacts, need international support – both in advancing work on particular climate policy areas to avoid or minimise harm, and capacity building support. As a result, discussions on response measures have tended to focus on minimising the negative impacts of response measures in the past.

With the widening of mitigation actions to all countries in the Paris Agreement, the discussion on response measures has become relevant for all countries. The Paris Agreement recognises this by calling on Parties to "take into consideration... the concerns of Parties with economies most affected by the impacts of response measures, particularly developing country Parties". The subsequent Katowice Decision 7/CP.24 also adopts this broader framing for all countries, stating that "response measures should be understood in the broader context of the transition towards low greenhouse gas emissions and climate-resilient development".²⁴

WHAT IS THE CURRENT FOCUS OF RESPONSE MEASURES DISCUSSIONS?

The response measures discussions under the UNFCCC currently focus on four key areas: economic diversification and transformation; just transition towards a low-carbon economy; building the capacity of countries to assess and analyse the impacts of response measures; and facilitation tools for assessing the impacts of response measures.

ECONOMIC DIVERSIFICATION AND TRANSFORMATION

Under the UNFCCC, economic diversification refers to moving an economy away from reliance on a narrow range of products that are affected by response measures taken to combat climate change. The case of fossil fuel-exporting countries is most commonly highlighted – as the demand for fossil fuels declines, economies that are heavily reliant on fossil fuel exports will need to diversify to other economic activities.²⁵ Economies that rely on the export of carbonintensive goods, which could be subject to climate change measures such as border carbon adjustments, will also need to diversify.²⁶

The COVID-19 pandemic has highlighted the economic risks faced by tourism-dependent countries, especially SIDS, from a complete or near-complete halt to international travel.²⁷ Similar negative impacts could be caused to tourism-dependent countries by a reduction in international travel due

to measures to address climate change, such as an increase in the costs of air travel.²⁸

Initial discussions under on response measures the UNFCCC focused almost exclusively on economic diversification, following the proposal for a compensation mechanism for oil-exporting countries during the Kyoto Protocol negotiations. A series of workshops on economic diversification took place, for instance in 2003 and 2006.29 Early COP decisions on response measures (such as Decision 5/CP.7) were almost entirely focused on economic diversification, urging greater support for the diffusion of technologies for non-energy uses of fossil fuels, carbon capture and storage technologies, and efficiency improvements in fossil fuel activities.³⁰ Economic diversification was also a key focal area for the SCCF when it was established.31

A 2017 technical paper on economic diversification by the UNFCCC Secretariat notes that from perspective of the least developed countries (LDCs) and poor economies, economic diversification has to be considered as a broader sustainable development strategy, owing to the much wider range of benefits that it brings other than greater resilience to the impacts of response measures. However, poor countries have a wider scope of diversification than economies with higher income levels, because poor countries initially diversify as they grow, and they start to specialise once they reach higher income levels.³²

While government intervention is necessary to make policies to promote diversification, the technical paper finds that very limited information has been reported on economic diversification in the various reports submitted by Parties under the Convention (such as the National Communications).

JUST TRANSITION OF THE WORKFORCE AND THE CREATION OF DECENT WORK AND QUALITY JOBS

Green jobs and employment creation in low-carbon sectors are often highlighted as a labour-friendly outcome of climate policy, with a net increase of 18 million jobs.³³ However, climate policy will also involve adjustments in the labour force as patterns of production and consumption shift, both between industries (for instance, from fossil fuel generation to renewable energy) and within industries (for instance, from vehicles with internal combustion engines to electric vehicles). Communities and economies reliant on these sectors to fund social services could also be impacted.

While there is no single definition for the concept, a just transition in the climate change context refers to efforts to ensure that a transition to a low-carbon world is fair to workers involved in high-carbon and carbon-intensive sectors, and that no one is left behind in the low-carbon transition. A just transition is applicable to a range of economic sectors and activities that will see structural transformations in a low-carbon direction. The transition challenge will vary from sector to sector, and depend on the speed of the transition anticipated.

A just transition is raised particularly in relation to the coal mining and power industry as coal consumption is being phased out, and movements like the Powering Past Coal alliance have gathered momentum. So far, frameworks for analysis and advocacy, and most concrete examples, are based on experiences of coal phaseouts in developed country contexts (with the exception of South Africa).³⁴

A 2017 technical paper by the UNFCCC Secretariat notes that so far, the impacts of the implementation of mitigation

policies and actions have been considered and addressed mainly from the perspective of environmental and economic implications. The social aspects of the impacts have received less attention and consideration from governments while implementing climate mitigation policies and actions.

While most studies that have investigated the net impact of environmental policy measures on employment suggest it is positive, the technical paper warns that the risk of job losses should not be underestimated. Employment will be affected in four ways as climate policies re-orient the economy towards greater sustainability: job creation, job substitution, job elimination, and job transformation. The scale and extent of these changes depends on the speed and breadth of technological and market changes in the green transformation.

Job losses are likely to occur in economic sectors, regions and communities, particularly where a dependence on fossil fuel resources is significant and where opportunities for economic diversification are limited. The situation is also challenging if the shift in demand of occupations is in a sector which holds a large share of employment for the region (such as agriculture). Such concerns are particularly strong among (but not limited to) developing countries.

The technical paper highlights the need for policymakers to develop just transition policies for affected workers, enterprises, and communities. They should aim to generate decent jobs all along the supply chain, in dynamic, high value-added sectors which stimulate the upgrading of jobs and skills, as well as job creation and improved productivity in more labour-intensive industries that offer employment opportunities on a wide scale. It also calls for skills development, and for adequate interim support (such as relocation of aid and social protection measures).³⁵

The issue of a 'just transition' was first formally recognised under the UNFCCC in the preamble of the 2010 Cancun Agreements, which recognised that addressing climate change requires a paradigm shift towards building a low-carbon, but it is important to ensure "*a just transition of the workforce that creates decent work and quality jobs*",³⁶

In 2011, the issue was included in the response measures work programme of the Forum, and addressed in a workshop in 2013. In 2015, the preamble of the Paris Agreement called on Parties to take into account the "*imperatives of a just transition* of the workforce and the creation of decent work and quality jobs in accordance with nationally defined development priorities".

At COP24, the Silesia Declaration, endorsed by 55 Heads of State and Government (including 18 from developing countries), stressed that the "*just transition of the workforce and the creation of decent work and quality jobs are crucial to ensure an effective and inclusive transition to low greenhouse gas emission and climate resilient development, and to enhance the public support for achieving the long-term goals of the Paris Agreement*".³⁷

Published academic literature and other research on the just transition issue extends beyond the current discussions under the UNFCCC process, presenting a need and opportunity to link this information and knowledge more closely to the response measures discussion under the UNFCCC.³⁸ The ILO, for instance, has been particularly engaged in the broader just transition agenda, and released a set of *Guidelines for a Just Transition* in 2015.³⁹ The engagement of trade unions in the just transition agenda and in the response measures negotiations reflect the importance of just transition discussions for social dialogue.⁴⁰

Recently the just transition issue has gained more highlevel attention. For example, the International Energy Agency created a high-level global commission on people-centred clean energy transitions in January 2021.

ASSESSING AND ANALYSING THE IMPACTS OF RESPONSE MEASURES

There are two work areas related to assessment of the impacts of the implementation of the response measures:

- Assessing and analysing the impacts of the implementation of response measures.
- Facilitating the development of tools and methodologies to assess the impacts of the implementation of response measures.

While many developed countries have conducted assessments of domestic and cross-border impacts of response measures, very few developing countries have done so. According to a 2017 technical report by the UNFCCC Secretariat, the developing country assessments are mostly limited to the overall impact on the economy (using GDP as a measure) and have an emphasis on fossil fuel sectors. However, there are many other impacts that should be investigated through such assessments, including impacts on employment and jobs, on competitiveness and other socioeconomic factors, and on the environment. In addition, these assessments do not reflect the continuing change in the climate change regime at the international level. ⁴¹

Developing countries have therefore stressed the need for capacity building in this area, including in the use of modelling tools to understand the impacts of response measures and limit adverse impacts. The issue of reporting on response measures was directly considered as an area for further improvement in the Forum's work programme for 2012-2013.⁴² Until 2019, reporting on response measures was limited to Annex I countries, under the provisions of the Kyoto Protocol. The current discussion on reporting on response measures takes place under the enhanced transparency framework of the Paris Agreement, which will be applicable to all Parties.

While the discussions on response measures under the UNFCCC have addressed capacity building, for instance for reporting and information-sharing, assessments and analysis of policy impacts, and socio-economic modelling exercises, a lot more remains to be done. The UNFCCC portal on modelling tools for response measures is outdated, and is currently being updated.⁴³ Workshops on modelling tools, needs and progress have also been convened in response to COP mandates, most recently in 2018.⁴⁴

POSSIBLE TOPICS FOR FUTURE DISCUSSIONS

As countries ramp up the implementation of measures to address climate change, a number of new issues could arise. It is possible that these could emerge while implementing the six-year workplan of the Forum and its KCI. Some of these are described below.

NEGATIVE EMISSION TECHNOLOGIES

Most modelled emission scenarios that keep global warming to or below 1.5° C assume the widespread availability and implementation of bioenergy and capture carbon and storage (BECCS), as well as afforestation and reforestation and carbon dioxide removal. However, the IPCC Special Report on *Global Warming of* 1.5° C and the IPCC Special Report on *Climate* *Change and Land* note that scaling up BECCS will have considerable land-use implications, with potential trade-offs for water use, agriculture and food security, and biodiversity; and effective governance is needed to limit such trade-offs. Some land-use based carbon dioxide removal (CDR) technologies can also have co-benefits and positive impacts for biodiversity and food security, but implementation at scale will require concerted governance efforts.⁴⁵ There are also emerging discussions on other CDR technologies and their impacts. For example, efforts to increase the carbon uptake of the oceans through ocean fertilisation, if they materialise, would also have trade-offs for ocean acidification caused by increasing carbon absorption.⁴⁶

SCALING UP LOW-CARBON TECHNOLOGIES

As technological shifts intensify towards low- or zero-carbon sectors, supply chain risks may increase with increasing demand for certain products and components. A previous and ongoing example is the case of biofuels, where efforts to meet biofuel targets (as alternatives to fossil fuel) have been linked to deforestation driven by increasing demand for land needed for growing biofuel crops. Similar cases may intensify in industrial products – for instance, in sourcing minerals and materials for electric battery technologies. This can create social and environmental risks in countries where minerals are mined, or materials are produced, for the new technologies.⁴⁷

FOSSIL FUEL SUPPLY

Most dimensions of climate policy involve efforts to reduce the demand for fossil fuels. Although a growing number of countries have committed to phase down coal or oil exploration and production, these are uncoordinated and largely unaddressed in NDC processes. There are also a number of coalitions of governments working together on elements of the fossil fuel phase-out through initiatives such as the Powering Past Coal Alliance and the Friends of Fossil Fuel Subsidy Reform. Mapping out a transition away from burning fossil fuels would also have relevance for both economic diversification and just transition processes, especially in the context of the development of national long-term low GHG emission development strategies.⁴⁸

GREEN INDUSTRIAL POLICIES AND TRADE-RELATED MATTERS

As more countries seek to develop their low-carbon industries, the issue of what counts as fair policy support in trade terms will gain more attention, requiring further international coordination. Issues surrounding subsidies for green industries, or increased green product standards and product mandates, will be increasingly discussed. Plurilateral, or small-club approaches may increase. For instance, a group of six trade-dependent countries (Costa Rica, Fiji, Iceland, New Zealand, Norway, and Switzerland) have begun negotiations toward an Agreement on Climate Change, Trade and Sustainability among themselves, to agree a common approach towards removing tariffs on environmental goods, developing environmental services, eliminating fossil fuel subsidies, and eco-labelling.⁴⁹

Varying stages of climate policy developments in different countries have prompted concerns about 'carbon leakage', where carbon-intensive industries relocate to jurisdictions with less strict (or no) climate change mitigation policies, and then export these goods to countries with stricter regulations. This is the reason behind the recent considerations of some countries for implementing carbon border adjustments, where, for example, a tax is levied on imported products based on amount of carbon dioxide associated with their production. For instance, the European Commission is working towards introducing such a policy for some sectors by 2023 as part of its Green Deal package, and the US and Canada also have been also signalling an interest in exploring possibilities for carbon border adjustments. However, countries without strict climate change mitigation policies are likely to oppose carbon border adjustments.⁵⁰

ANNEX I: SB WORK PLAN ON RESPONSE MEASURES

	ΑCTIVITY				SB	SB SESSION	SIO	z				
		52	53 54	55	56	56 57 58 59 60 61 62	58	59	09	61	62	63
в	Gender training	×										
_	Explore approaches to informing the development and implementation of climate change mitigation strategies, plans, policies and programmes, including NDCs and/or LEDS, that maximise the positive and minimise the negative impacts of response measures	×										
4	Enhance the capacity and understanding of Parties, through collaboration and input from stakeholders, on the assessment and analysis of the impacts of the implementation of response measures to facilitate the undertaking of economic diversification and transformation and just transition	×										×
m	Facilitate the development, enhancement, customisation and use of tools and methodologies for modelling and assessing the impacts of the implementation of response measures, including identifying and reviewing existing tools and approaches in data-poor environments, in consultation with technical experts, practitioners and other relevant stakeholders		*×									

	ACTIVITY					SB	SES	SB SESSION	_				
		52	53	54	55	56 57 58 59 60 61	57	82	26	60	61	62	63
2	Identify country-driven strategies and best practices on just transition of the workforce and creation of decent work and quality jobs and on economic diversification and transformation focusing on challenges and opportunities from the implementation of low GHG emission policies and strategies towards the achievement of sustainable development			×				×					
=	Facilitate, exchange and share experiences and best practices in the assessment of the environmental, social and economic co-benefits of climate change policies and actions informed by the best available science, including the use of existing tools and methodologies				×		×						
υ	Mid-term review					×							
6	Identify and assess the impacts of the implementation of response measures taking into account intergenerational equity, gender considerations and the needs of local communities, indigenous peoples, youth and other people in vulnerable situations					×						×	
σ	Information for the first global stocktake					×	×						

	ΑCTIVITY				SB	SB SESSION	SIO	z				
		52	53 54	55 5	56 57		82	58 59 60 61	60	61	62	63
ъ	Build awareness and understanding of Parties and other stakeholders to assess the economic impacts of potential new industries and businesses resulting from the implementation of response measures with a view to maximising the positive and minimising the negative impacts of the implementation of response measures				^	×						
e	Review			 			×	×				
~	Facilitate the development and exchange of regional, country- and/or sector-specific case studies and approaches on (1) economic diversification and transformation and just transition of the workforce and creation of decent work and quality jobs, and (2) assessment and analysis of the impacts of the implementation of response measures with a view to understanding the positive and negative impacts							*				
ω	Identify and exchange experiences and best practices in engaging the private sector, including small and medium- sized enterprises and public-private partnerships, to facilitate the creation of decent work and quality jobs in low GHG emission sectors			 				×				

	ACTIVITY					SB	SB SESSION	SIO	7				
		52	53	54	52 53 54 55 57 58 59 60 61 62 63	56	57	28	59	09	19	62	63
6	Promote the availability and use of guidelines and policy frameworks to assist Parties in promoting just transition of the workforce and the creation of decent work and quality jobs within and across sectors, including training, retooling, retraining and re-skilling systems and stakeholder engagement strategies									×			
0	Share experience and best practices in reporting and informing on efforts to assess and analyse the impacts of the implementation of response measures										×		
q	Annual report		×		×		×		×		×		×

*onwards

ANNEX II: KEY UNFCCC DECISIONS ON RESPONSE MEASURES

UNFCCC

Preamble

Affirming that responses to climate change should be coordinated with social and economic development in an integrated manner with a view to avoiding adverse impacts on the latter, taking into full account the legitimate priority needs of developing countries for the achievement of sustained economic growth and the eradication of poverty...

Article 4.8

In the implementation of the commitments in this Article, the Parties shall give full consideration to what actions are necessary under the Convention, including actions related to funding, insurance and the transfer of technology, to meet the specific needs and concerns of developing country Parties arising from the adverse effects of climate change and/or the impact of the implementation of response measures, especially on:

- (a) Small island countries;
- (b) Countries with low-lying coastal areas;
- (c) Countries with arid and semi-arid areas, forested areas and areas liable to forest decay;
- (d) Countries with areas prone to natural disasters;
- (e) Countries with areas liable to drought and desertification;
- (f) Countries with areas of high urban atmospheric pollution;
- (g) Countries with areas with fragile ecosystems, including mountainous ecosystems;
- (h) Countries whose economies are highly dependent on income generated from the production, processing and export, and/or on consumption of fossil fuels and associated energy-intensive products; and
- (i) Landlocked and transit countries.

Further, the Conference of the Parties may take actions, as appropriate, with respect to this paragraph.

Article 4.10

The Parties shall, in accordance with Article 10, take into consideration in the implementation of the commitments of the Convention the situation of Parties, particularly developing country Parties, with economies that are vulnerable to the adverse effects of the implementation of measures to respond to climate change. This applies notably to Parties with economies that are highly dependent

on income generated from the production, processing and export, and/or consumption of fossil fuels and associated energy-intensive products and/or the use of fossil fuels for which such Parties have serious difficulties in switching to alternatives.

KYOTO PROTOCOL

Article 2.3

The Parties included in Annex I shall strive to implement policies and measures under this Article in such a way as to minimize adverse effects, including the adverse effects of climate change, effects on international trade, and social, environmental and economic impacts on other Parties, especially developing country Parties and in particular those identified in Article 4, paragraphs 8 and 9 of the Convention, taking into account Article 3 of the Convention. The Conference of the Parties serving as the meeting of the Parties to this Protocol may take further action, as appropriate, to promote the implementation of the provisions of this paragraph.

Article 3.14

Each Party included in Annex I shall strive to implement the commitments mentioned in paragraph 1 above in such a way as to minimize adverse social, environmental and economic impacts on developing country Parties, particularly those identified in Article 4, paragraphs 8 and 9, of the Convention. In line with relevant decisions of the Conference of the Parties on the implementation of those paragraphs, the Conference of the Parties serving as the meeting of the Parties to this Protocol shall, at its first session, consider what actions are necessary to minimize the adverse effects of climate change and/or the impacts of response measures on Parties referred to in those paragraphs. Among the issues to be considered shall be the establishment of funding, insurance and transfer of technology.

PARIS AGREEMENT

Preamble

Recognizing that Parties may be affected not only by climate change, but also by the impacts of the measures taken in response to it,...

Article 4.15

Parties shall take into consideration in the implementation of this Agreement the concern of Parties with economies most affected by the impacts of response measures, particularly developing country Parties.

Decision I/CP.21, §34

Further decides that the Subsidiary Body for Scientific and Technological Advice and the Subsidiary Body for Implementation shall recommend, for consideration and adoption by the Conference of the Parties serving as the meeting of the Parties to the Paris Agreement at its first session, the modalities, work programme and functions of the forum on the implementation of response measures to address the effects of the implementation of response measures under the Agreement by enhancing cooperation amongst Parties on understanding the impacts of mitigation actions under the Agreement and the exchange of information, experiences, and best practices amongst Parties to raise their resilience to these impacts.

KATOWICE CLIMATE PACKAGE

Decision 7/CMA.I

Annex

Modalities, work programme and functions under the Paris Agreement of the forum on the impact of the implementation of response measures

I. Functions

1. The forum on the impact of the implementation of response measures (hereinafter referred to as the forum) shall have the following functions:

- (a) Provide a platform allowing Parties to share, in an interactive manner, information, experiences, case studies, best practices and views, and to facilitate assessment and analysis of the impact of the implementation of response measures, including the use and development of modelling tools and methodologies, with a view to recommending specific actions;
- (b) Provide recommendations to the subsidiary bodies on the actions referred to in paragraph 1(a) above for their consideration, with a view to recommending those actions, as appropriate, to the COP, CMP and CMA;
- (c) Provide concrete examples, case studies and practices in order to enhance the capacity of Parties, in particular developing country Parties, to deal with the impact of the implementation of response measures;
- (d) Address the effects of the implementation of response measures under the Convention, the Kyoto Protocol and the Paris Agreement by enhancing cooperation among Parties, stakeholders, external organizations, experts and institutions, by enhancing the capacity and the understanding of Parties of the impacts of mitigation actions and by enabling the exchange of information, experience and best practices among Parties to raise their resilience to these impacts;

- (e) Respond and take into consideration the relevant outcomes of different processes under the Paris Agreement;
- (f) Promote action to minimise the adverse impacts and maximize the positive impacts of the implementation of response measures.

II. Work programme

2. The work programme comprises the following areas of work in order to address the concerns of all Parties, particularly developing country Parties:

- (a) Economic diversification and transformation;
- (b) Just transition of the workforce and the creation of decent work and quality jobs;
- (c) Assessing and analysing the impacts of the implementation of response measures;
- (d) Facilitating the development of tools and methodologies to assess the impacts of the implementation of response measures.

III. Modalities

3. The forum shall meet twice a year in conjunction with the sessions of the subsidiary bodies and will be convened under a joint agenda item of the subsidiary bodies and operate in accordance with the procedures applicable to contact groups.

4. The Katowice Committee of Experts on the Impacts of the Implementation of Response Measures (KCI) shall support the forum on the impact of the implementation of response measures to implement its work programme and shall operate in accordance with the following terms of reference:

(a) The KCI shall meet twice a year, for two days per meeting, in conjunction with the meetings of the subsidiary bodies;

(b) The KCI shall be composed of 14 members, with two members from each of the five United Nations regional groups, one member from the least developed countries, one member from the small island developing States and two members from relevant intergovernmental organizations;

(c) Members shall serve in their expert capacity and should have relevant qualifications and expertise in the technical and socioeconomic fields related to the areas of the work programme of the forum;

(d) Members identified in paragraph 4(b) above shall be nominated by their respective groups. The Chairs of the Subsidiary Body for Implementation and the Subsidiary Body for Scientific and Technological Advice shall be notified of these appointments;

(e) Members identified in paragraph 4(b) above shall serve a term of two years and shall be eligible to serve a maximum of two consecutive terms in office;

(f) The KCI shall elect, on a consensus basis, two members from among its members identified in paragraph 4(b) above to serve as Co-Chairs for a term of two years each, taking into account the need to ensure equitable geographical representation;

(g) If one of the Co-Chairs is temporarily unable to fulfil the obligations of the office, any other member designated by the KCI shall serve as Co-Chair;(h) Meetings of the KCI shall be open to attendance, as observers, by all Parties and accredited observer organizations unless otherwise decided by the KCI;

(i) The KCI shall operate on the basis of consensus of its members;

(j) Members of the KCI shall prepare an annual report for the forum to consider with a view to making recommendations to the Conference of the Parties, the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol and the Conference of the Parties serving as the meeting of the Parties to the Paris Agreement.

5. The forum and the KCI may use the following modalities, as appropriate and as decided on a case-by-case basis, in order to carry out the work programme of the forum:

- (a) Building awareness and enhancing information-sharing through the exchange and sharing of experience and best practices;
- (b) Preparing technical papers, case studies, concrete examples and guidelines;
- (c) Receiving input from experts, practitioners and relevant organizations;
- (d) Organizing workshops.

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