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C(2021) 7710 final

ANNEX

ANNEX

to the

COMMISSION IMPLEMENTING DECISION

on the financing of the individual measure for International Climate Governance

INDIVIDUAL MEASURE

This document constitutes the annual work programme in the sense of Article 110(2) of the Financial Regulation, and measures in the sense of Article 23(3) of the [Neighbourhood, Development and International Cooperation Instrument – Global Europe](#) Regulation.

1. SYNOPSIS

1.1. Action Summary Table

1. Title CRIS/OPSYS business reference Basic Act	Individual measure for International Climate Governance [OPSYS/CRIS] ¹ number: N/A Financed under the Neighbourhood, Development and International Cooperation Instrument (NDICI-Global Europe)
2. Team Europe Initiative	No
3. Zone benefiting from the action	The action shall be carried out worldwide (NDICI – Global Europe geographical coverage)
4. Programming document	N/A
5. Link with relevant MIP(s) objectives / expected results	N/A
PRIORITY AREAS AND SECTOR INFORMATION	
6. Priority Area(s), sectors	Environmental sustainability / Climate change (DAC sector: General Environment Protection – 410)
7. Sustainable Development Goals (SDGs)	Main SDG: 13 Other significant SDGs: SDG 7: Affordable, reliable, sustainable and modern energy for all SDG Target 7.3: By 2030, double the global rate of improvement in energy efficiency SDG Target 16.8: Broaden and strengthen the participation of developing countries in the institutions of global governance
8 a) DAC codes²	41010 – Environmental policy and administrative management (100%)
8 b) Main Delivery Channel @	Main Delivery Channel: 10000 Public Sector Institutions
9. Targets³	<input type="checkbox"/> Migration <input checked="" type="checkbox"/> Climate <input type="checkbox"/> Social inclusion and Human Development <input checked="" type="checkbox"/> Gender <input type="checkbox"/> Biodiversity <input type="checkbox"/> Education ⁴ <input checked="" type="checkbox"/> Human Rights, Democracy and Governance ⁵

¹ Depending on the availability of OPSYS at the time of encoding, a provisional CRIS number may need to be provided.

² DAC sectors (codes and descriptions) are indicated in the first and fourth columns of the tab ‘purpose codes’ in the following document: <http://www.oecd.org/dac/financing-sustainable-development/development-financestandards/dacandcrscodelists.htm>

³ Actual contribution to targets will be confirmed ex-post based on a standardised methodology.

⁴ This target is specific to INTPA. If the action is marked as contributing to the Education target, please make sure the target on “Social inclusion and Human Development” is also marked.

⁵ Thematic target for geographic programmes (at least 15%) in delegated act.

10. Markers ⁶ (from DAC form)	General policy objective @	Not targeted	Significant objective	Principal objective
	Participation development/good governance	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
	Aid to environment @	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	Gender equality and women's and girl's empowerment	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	Trade development	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Reproductive, maternal, new-born and child health	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Disaster Risk Reduction @	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Inclusion of persons with Disabilities @	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Nutrition @	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	RIO Convention markers	Not targeted	Significant objective	Principal objective
	Biological diversity @	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Combat desertification @	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change mitigation @	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
	Climate change adaptation @	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
11. Internal markers⁷ and Tags⁸:	Policy objectives	Not targeted	Significant objective	Principal objective
	Digitalisation @ Tags: digital connectivity digital governance digital entrepreneurship job creation digital skills/literacy digital services	<input checked="" type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
	Connectivity @ Tags: transport people2people energy digital connectivity	<input checked="" type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
	Migration @ (methodology for tagging under development)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Reduction of Inequalities	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

⁶ For guidance, see <https://www.oecd.org/development/financing-sustainable-development/development-finance-standards/> (go to “Data collection and resources for reporters”, select Addendum 2, annexes 18 (policy) and 19 (Rio) of the reporting directive).

If an action is marked in the DAC form as contributing to one of the general policy objectives or to RIO principles as a principal objective or a significant objective, then this should be reflected in the logframe matrix (in the results chain and/or indicators).

⁷ The internal markers have been created to report on the implementation of the Commission's own policy priorities in areas where no DAC reporting tool is available. For the sake of consistency and comparability, the methodology is equivalent to the DAC markers, with three possible positions (main target, significant target, not targeted)

⁸ Methodology for additional tagging providing granularity on internal markers is under development.

	(methodology for marker and tagging under development)			
	Covid-19	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
BUDGET INFORMATION				
12. Amounts concerned	Budget line(s) (article, item): 14.020241 Total estimated cost: EUR 6 800 000 Total amount of EU budget contribution: EUR 6 800 000 The contribution is for an amount of EUR 6 800 000 from the general budget of the EU for 2021 subject to the availability of appropriations for the respective financial year following the adoption of the relevant annual budget, or as provided for in the system of provisional twelfths.			
MANAGEMENT AND IMPLEMENTATION				
13. Type of financing⁹	Indirect management - The entities to be selected in accordance with the criteria set out in section 4.3.1.			

1.2. Summary of the Action

Climate change remains an existential threat to humanity. The COVID-19 pandemic puts additional pressure on countries' capacities to tackle climate change, both in terms of mitigation and adaptation.

The 26th Conference of the Parties to the United Nations Framework Convention on Climate Change (UNFCCC COP26) to be held in Glasgow in November 2021 will, in the words of UN Secretary General Antonio Guterres, be 'a critical milestone in our efforts to avert climate catastrophe'¹⁰. A UN High-level Dialogue on Energy to be held in New York in September 2021 will build up momentum to the COP.

The Overall Objective (impact) of this action is that COP26 and associated events lead to agreements which are both ambitious and have the contribution and support of all countries, in particular LDCs and SIDS. The Specific Objective (outcome) of this action is that developing countries contribute to successful COP26 and UNFCCC processes.

The following four actions are proposed for financing through the International Climate Governance action described in this document:

- Support to the participation of developing countries in COP26 and related UN processes;
- Support to clean energy access and energy transition acceleration¹¹;
- Support to the International Programme for Action on Climate¹²;
- Support to the Adaptation without Borders initiative¹³.

The implementing entities of the actions above will be chosen on the basis of their mandate, technical and managerial competence, and track record in the respective policy field.

The Action will fully contribute to SDG 13.

2. RATIONALE

2.1. Context

Global greenhouse gas (GHG) emissions remain on an unsustainable trajectory despite short-term emission reductions due to the impact of the COVID-19 pandemic on the global economic activity. Global climate action still falls short

⁹ Art. 27 NDICI

¹⁰ <https://www.un.org/sg/en/content/sg/speeches/2021-02-08/remarks-briefing-member-states-incoming-cop26-president%2%A0>

¹¹ <https://www.iea.org/news/pathway-to-critical-and-formidable-goal-of-net-zero-emissions-by-2050-is-narrow-but-brings-huge-benefits-according-to-iea-special-report>

¹² <https://www.oecd.org/newsroom/oecd-announces-the-creation-of-the-international-programme-for-action-on-climate-ipac.htm>

¹³ <https://adaptationwithoutborders.org/>

of what is required to achieve the long-term goals of the 2015 Paris Agreement and the 2030 Agenda for Sustainable Development.¹⁴

The EU is showing leadership and is setting an example. In December 2020, the European Council has reached agreement on a general approach to the proposal for a European climate law, including a new EU greenhouse gas emissions reduction target of at least 55% by 2030 compared to 1990 levels.¹⁵ A year earlier, the EU had agreed upon the objective of climate neutrality by 2050. In the February 2021 Adaptation Strategy, the EU committed to step up its efforts towards climate resilience by 2050¹⁶. More recently, the ambitious ‘Fit for 55’ package was presented in July 2021 as a package of proposals to achieve the 55% target by 2030 through the contribution of various sectors (from climate, energy, land use, transport to taxation).¹⁷ The EU will implement its ambitious goals through the European Green Deal (EGD), both inside the EU and outside its borders.

Since the EU accounts for an 8%, and decreasing, share of global emissions, an ambitious internal policy will not be enough to tackle the global climate mitigation challenge. Urgent, collective and decisive global action by all Parties to the UN Framework Convention on Climate Change (UNFCCC) is needed to hold the increase in the global average temperature to well below 2°C above preindustrial levels and pursuing efforts to limit the temperature increase to 1.5°C above preindustrial levels in response to the climate emergency, as stipulated in the Paris Agreement.

A strong participation of developing countries - especially least developed countries (LDCs) and small island developing states (SIDS) – in UNFCCC and other climate-related UN processes is crucial for the credibility of the international climate regime.

The UK will host the 26th Conference of the Parties to the United Nations Framework Convention on Climate Change (COP26) in Glasgow in November 2021, in partnership with Italy. Originally planned for 2020 and delayed due to COVID-19, COP26 will be an important event to further raise global climate ambition, and to finalise the Paris rulebook (the set of guidelines for implementing the Paris Agreement) by reaching an agreement on the provisions of Article 6 on international carbon markets. At the time of writing, the format of the climate summit is not yet known (in-person, virtual or hybrid). In all cases, the participation of delegates from developing countries will pose particular logistical and financial challenges for this COP.

COP26 will be prepared through a number of milestone events such as a high-level dialogue on energy in New York in September 2021 and the pre-COP in Milan from 30 September to 2 October 2021. The International Energy Agency (IEA) has already convened a COP26 Net-Zero Summit on 31 March 2021, in which the European Commission and the IEA joined forces to accelerate and expand the net-zero movement of governments and companies, and to develop a collaborative international net-zero campaign with interested partners.

The IEA, hosted by the Organization for Economic Co-operation and Development (OECD), and the International Renewable Energy Agency (IRENA) are important platforms for discussions related to international energy and climate policy. Although developing countries are not members of the former, they are participating in discussions in relevant OECD expert groups and climate initiatives. In April 2021, the OECD has announced the creation of the International Programme for Action on Climate (IPAC), led by France.¹⁸

Adaptation is a long-standing key challenge for developing countries, who recurrently voice their concerns in the UNFCCC forum. The EU has a large portfolio of support projects in the framework of the Global Climate Change Alliance (GCCA), national and regional programmes under the European Development Fund (EDF) and the Development Cooperation Instrument (DCI). At COP26, a new international adaptation partnership, Adaptation Without Borders, will be presented as a means to strengthen systemic resilience to cross-border climate impacts, in line with the new EU Adaptation Strategy adopted on 24 February 2021.

The EU has also been mandated by the Foreign Affairs Council (25 January 2021) to take international initiatives for mitigating methane emissions. Due to the short atmospheric lifetime of methane, taking action now can rapidly reduce the rate of global warming while yielding important co-benefits for public health. The EU is in the process of launching an initiative, possibly together with the US, at the margins of COP26. An active outreach in cooperation with initiatives like the Climate and Clean Air Coalition can spur global action.

During the COP25 an enhanced five-year Lima work programme on gender and its gender action plan was adopted. The enhanced gender action aims to “advance knowledge and understanding of gender-responsive climate action and

¹⁴ <https://www.consilium.europa.eu/media/48057/st05263-en21.pdf>

¹⁵ <https://www.consilium.europa.eu/en/press/press-releases/2020/12/17/council-agrees-on-full-general-approach-on-european-climate-law-proposal/#:~:text=A%20climate%20neutral%20EU%20%2D%20what.on%2010%2D11%20December%202020.>

¹⁶ [EU Adaptation Strategy | Climate Action \(europa.eu\)](https://www.consilium.europa.eu/media/48057/st05263-en21.pdf)

¹⁷ [EUR-Lex - 52021DC0550 - EN - EUR-Lex \(europa.eu\)](https://www.consilium.europa.eu/media/48057/st05263-en21.pdf)

¹⁸ <https://www.oecd.org/newsroom/oecd-announces-the-creation-of-the-international-programme-for-action-on-climate-ipac.htm>

its coherent mainstreaming in the implementation of the UNFCCC and the work of Parties, the secretariat, United Nations entities and all stakeholders at all levels, as well as women's full, equal and meaningful participation in the UNFCCC process".

Moreover, it was agreed that an intermediate review of the progress of implementation of the activities contained in the gender action plan, will be conducted during the 26th session of the Subsidiary Body for Implementation (in June 2022).

The action will contribute to the EU Gender Action Plan (GAP) III, particularly to the thematic area of engagement – "Addressing the challenges and harnessing the opportunities offered by the green transition and the digital transformation (climate change and environment)".

Given the threats of environmental degradation and climate change on human rights, it will also help implement the EU Action Plan on Human Rights and Democracy 2020-2024, by mainstreaming human rights approach across the four components.¹⁹

In the light of the above, the following four actions have been identified by European Commission services of being in need to be front-loaded from the NDICI – Global Europe instrument in order to be launched in time for COP26:

- Support to the participation of developing countries in COP26 and related UN processes;
- Support to clean energy access and energy transition acceleration;
- Support to the International Programme for Action on Climate;
- Support to the Adaptation without Borders initiative.

They will be presented in more detail further down in this document.

2.2. Problem Analysis

All the actions foreseen under this fiche target the priority area climate change and more specifically the improved participation of developing countries in international climate policy processes, gender-responsive and human rights-based knowledge building and the improvement in quality in adaptation action.

The activities planned under this action document target related but distinct climate policy fields. Due to the financial limitations in many developing countries, accentuated by the current COVID-19 pandemic, the participation of experts in UNFCCC conferences and in other relevant policy forums needs support from the international donor community. A similar situation prevails in many relevant forums such as IEA and IRENA, as well as concerning the access to state-of-the-art EU knowledge on gender-responsive adaptation solutions. The below section presents a short problem analysis for the issues covered in this Action Document.

Short problem analysis:

- Support to developing countries in COP26 and related UN processes:

A comprehensive participation of developing countries, esp. LDCs and SIDS, in the UNFCCC process needs long-term reliable support by the donor community. As the COVID-19 pandemic has put additional pressure on public budgets, many developing country governments may find it difficult to cover the costs of the participation of their delegated representatives in such events. EU support is urgently needed in view of COP26 to enhance gender-responsive mitigation and adaptation ambition and to support effective and efficient participation of developing countries in international climate relevant policy forums. In addition, UNFCCC secretariat activities with benefit for developing countries need to be supported through the next Biennial Work Programme, and in particular building on the priorities identified above. Part of the support will be upfront support for the organisation of COP27 in 2022, which will take place in Africa.

- Support to clean energy access and energy transition acceleration:

After the launch of the EU long-term climate strategy in November 2018, which calls for a climate neutral Europe by 2050, there has been a flurry of similar mid-century net-zero commitments by other Parties to the UNFCCC including the United States, China (before 2060), Japan, South Korea and South Africa. Developing countries might lack the capacities to prepare such strategies. These countries can typically profit from well-targeted international and local technical assistance for the design and implementation of ambitious climate and related energy strategies, and in particular for energy-poor countries, to leapfrog to clean energy solutions accessible to their people, taking into account equal participation and access for women, girls and groups that are living in vulnerable situations, who are mostly affected by climate change in their daily lives. To raise international awareness and to speed up action, the

¹⁹ [EU Action Plan on Human Rights and Democracy - European External Action Service \(europa.eu\)](#)

UN Secretary-General will convene a high-level dialogue on energy (HLDE) in September 2021 to promote the implementation of the energy-related goals and targets of the 2030 Agenda for Sustainable Development. The EU, IEA and IRENA will support developing countries, with a focus on Africa, in view of energy transition and clean energy access roadmaps.

- Support to International Programme for Action on Climate:

Another, though smaller, support for the elaboration of net-zero strategies is planned through the new OECD IPAC programme. Climate and energy policy knowledge is not being sufficiently quickly adopted and implemented in emerging markets with a rapidly growing emissions profile. IPAC therefore offers participating countries a new steering instrument, complementary to and consistent with the UNFCCC and the Paris Agreement, to pursue progress towards the transition to net-zero greenhouse gas emissions goal and a more resilient economy by mid-century, thanks to a precise evaluation of their action and the sharing of good practices. IPAC will leverage the OECD's proven working methods to develop evidence-based analysis and sharing of good practices and results, building on existing data and indicators, policy tools, advice and international guidance and best practice. The IPAC work programme will have four pillars: (i) an annual climate action monitor; (ii) a dashboard of climate-related indicators; (iii) concise country notes with targeted policy advice; (iv) an interactive platform for dialogue and mutual learning across countries. IPAC is open to OECD key partner countries such as Brazil, China, India, Indonesia and South Africa, six prospective OECD members and G20 countries. It differs from other initiatives like the net-zero compact, as IPAC's focus are the high-emitter emerging markets developing countries. While IPAC is primarily a mitigation-focused initiative, ongoing discussions in the Technical Expert Group tasked with defining IPAC climate indicators have highlighted the importance of also considering adaptation efforts and policies, including by considering specific indicators on climate adaptation for IPAC. These may require still some time to develop and the EU will monitor them closely.

- Support to Adaptation without Borders:

The new EU Adaptation Strategy recognizes the huge challenges that developing countries face in terms of adaptation to climate change. It highlights that climate change threats are increasing; and also that some of them will have knock-on effects across borders and continents, reaching Europe eventually. For instance, the disruption of port infrastructure could hamper or even close down trade routes, both for commodities and goods, with potential cascading effects across international supply chains. To address the shared challenges of interconnected societies (e.g. migration, conflict, displacement), ecosystems (e.g. shared river basins, the ocean, and Polar Regions), and economies (e.g. global value chains), the Adaptation Strategy commits to scale up the EU's international cooperation to build climate resilience, including transboundary effects of adaptation or maladaptation. Credible, high-quality donor initiatives are a success factor for COP26. One of the initiatives on adaptation that the EU could join at COP26 is Adaptation Without Borders (AwB), a new global partnership to strengthen international cooperation on adaptation to manage the cross-border and cascading impacts of climate change. AwB offers gender-responsive risk assessments, policy analysis and implementation support to developing countries. It is led by a consortium of Stockholm Environment Institute (SEI/Sweden), Institute for Sustainable Development and International Relations (IDDRI/France), and Overseas Development Institute (ODI/UK).

Identification of main stakeholders and corresponding institutional and/or organisational issues (mandates, potential roles, and capacities) to be covered by the action:

The main stakeholder groups, duty-bearers of the action, are developing countries' government offices and agencies responsible for climate change and energy issues. Specific target groups for the individual activities are expert communities working in their respective fields of expertise. Rights-holders of the action are people. They will be represented by civil society organisations, including women's organisations and organisations representing rights of indigenous peoples and persons with disabilities. Throughout all activities, the strengthening of ownership of developing countries and all people living in them shall be an explicit goal. Representation of women in UNFCCC processes and implementation of their gender action plan is still insufficient. Therefore, gender equality in decision-making and support for gender-responsive climate actions and implementation of the process is a cross-cutting issue in the project.

3. DESCRIPTION OF THE ACTION

3.1. Objectives and Expected Outputs

The EU and developing countries share strategic interests linked to managing climate risks and the successful implementation of the Paris Agreement and the SDGs. The proposed climate governance programme will contribute to effective international action pursuing the following objectives and results:

The Overall Objective (Impact) of this action is that COP26 and associated events lead to agreements which are both ambitious and have the contribution and support of all countries, in particular LDCs and SIDS.

The Specific Objective (Outcome) of this action is that developing countries contribute to successful COP26 and UNFCCC processes.

The Outputs to be delivered by this action contributing to the corresponding Specific Objective (Outcome) are:

Output 1: Enhanced engagement of developing countries in the UNFCCC process and COP26

Output 2: Enhanced understanding of net-zero emissions pathways in the energy sector

Output 3: Enhanced sharing of good practices that are gender-responsive and human rights-based with emerging economies on climate policies

Output 4: Enhanced access to latest EU knowledge on adaptation solutions, including EU knowledge on gender-responsive and human rights-based adaptation solutions.

3.2. Indicative Activities

To achieve its objectives, the programme will support a number of targeted policy interventions within the UNFCCC and/or related policy arenas. In particular, the programme foresees activities in four areas:

Activities related to Output 1:

This activity includes a contribution to the UNFCCC trust funds for the participation of developing countries delegates in UNFCCC negotiation meetings. This aims to contribute to the implementation of the Paris Agreement by developing countries as well as to support the activities of the UNFCCC Secretariat, especially where these are relevant for developing countries. Timely EU funding is vital both for a successful COP26 in Glasgow, as well as for the preparations of COP27, to be held in 2022 in Africa (host country yet to be announced).

Activities related to Output 2:

Activities will support the participation of developing countries in the UN High-level Dialogue on Energy and its follow-up activities and events, especially its climate change aspects. Through competent international organisations, the EU will support developing countries in preparing their clean energy access and transition through dedicated technical assistance as detailed below. As Commission EVP Frans Timmermans (European Green Deal) and Commissioner Kadri Simson (Energy) are both involved in the HLDE, the action will accompany their participation. Furthermore, on 18 May 2021, the IEA has published a first comprehensive roadmap²⁰ for the global energy sector to reach net-zero emissions 2050.

In this setting, EU-funded technical assistance will be provided to:

- accelerate and expand the net-zero movement of governments and companies committed to helping deliver the energy sector's contribution to achieving net-zero economies;
- develop a collaborative international net-zero campaign with interested partners to raise awareness and accelerate the transitions to net zero, as an urgent call for action;
- team up with willing partners in support of (especially) African countries' efforts to develop access and particularly strengthen equal access for women, men, girls and boys, in all their diversity access to affordable modern energy services from sustainable sources and clean technologies, leapfrogging to advanced stages of sustainable development.

Coordination will be ensured with relevant EU-funded projects, including the "EU Leading the Global Energy Transition" funded under the Partnership Instrument.

Activities related to Output 3:

Technical assistance will be provided for emerging markets developing countries' participation in the OECD's International Programme for Action on Climate (IPAC), which contributes to the Global Stocktake of progress on

²⁰ <https://www.iea.org/reports/net-zero-by-2050>

Nationally Determined Contributions (NDCs) under the Paris Agreement. The EU will support some or all of the four pillars of IPAC, namely:

- Annual Climate Action Monitor, building on a set of commonly agreed climate-related indicators, which will provide a digest of countries' progress towards their climate policy objectives, alignment with the Paris Agreement.
- A dashboard of climate-related indicators. A small number of indicators will be used for benchmarking national efforts and performances and a broader set of indicators will complement the analysis. This will allow for an assessment of country progress against national and international objectives in a timely manner.
- Concise country notes with targeted policy advice, informed by the set of climate-related indicators. The country notes will take into account countries' economic structure, specific social and geographical factors.
- An interactive platform for dialogue and mutual learning across countries. The platform will provide online discussion among countries using a dedicated Community site.

Coordination will be ensured with relevant EU-funded projects, including the "Strategic Partnerships for the Implementation of the Paris Agreement" (SPIPA) funded under the Partnership Instrument.

Activities related to Output 4:

On the basis of the new EU Adaptation Strategy, EU gender-responsive adaptation knowledge and services will be provided to developing countries through 'Adaptation without Borders', a foreseen EU deliverable for COP26. The Partnership will meet the needs of those on the frontlines of a changing climate in three ways:

- (1) through engaging and working through organisations in the Partnership that manage adaptation projects, communities highly exposed to climate risks, and that act as knowledge brokers between stakeholder groups;
- (2) by hosting a series of dialogues that provide a platform for a diversity of views on how to strengthen cooperation on adaptation in ways that provide local adaptation planners with the global outlooks they need to strengthen resilience;
- (3) by focusing activities on planning and implementation in a specific regional context to co-design NAP guidance with NAP planners - ensuring it is meaningful to the NAP processes, credible with NAP planners and provides realistic and timely recommendations, based on a deeper understanding of NAP user requirements, capacities and decision contexts.

Indicative activities include:

- establishing a global risk platform (integrated with the existing EU Climate ADAPT tool);
- conducting a scoping study to explore options for defining the platform's scope, ambition, and links to existing adaptation knowledge platforms and initiatives;
- drafting a flagship report on the top 10 cross-border risks globally;
- mapping initiatives with related mandates and harness synergies with existing "non-climate" governance frameworks and instruments;
- producing adaptation knowledge products in areas such as trade and supply chains, threats to global food security, human mobility, financial flows and shared ecosystems.

AwB aims to work closely with policymakers and to usefully inform and engage with policy processes at national, regional and international levels. The role of local authorities and their global and regional associations in the fight against climate change will also be addressed wherever possible under each component. The experience of EU-funded initiatives such as "International Urban and Regional Cooperation" and "Support to the Global Covenant of Mayors" will be taken into account in this context.

3.3. Mainstreaming

Environmental Protection & Climate Change

The activities foreseen under this project will contribute to the 30% climate-related spending target of the NDICI – Global Europe. Additionally, the project is directly targeting climate change mitigation and adaptation. Aid to environment is a clear implicit goal. Biodiversity and Combatting desertification are not directly targeted, yet they will be supported through the UNFCCC component and the individual NDCs of participating developing countries.

Gender equality and empowerment of women and girls

As per OECD Gender DAC codes identified in section 1.1, this action is labelled as G1.

Gender equality is a goal that the EU promotes in its support to developing countries' participation in the UNFCCC process, insofar as the participation of women in UNFCCC bodies and meetings is encouraged through a UNFCCC

Gender Action Plan (GAP). The EU's contribution to the UNFCCC supplementary funds supports the work on gender related matters in the UNFCCC by directing a dedicated part of the contribution to support the work and activities under the UNFCCC GAP. The GAP is at the heart of the UNFCCC work on gender and aims at advancing knowledge and understanding of gender-responsive climate action and its coherent mainstreaming in the implementation of the UNFCCC and the work of Parties, the secretariat, United Nations entities and all stakeholders at all levels, as well as women's full, equal and meaningful participation in the UNFCCC process. The GAP's work programme is negotiated and agreed by the UNFCCC Parties. However, as the selection of delegates to most UNFCCC- and related climate and energy meetings is the prerogative of partner governments, it is suggested that the EU does not apply a strict conditionality on the conditions for appointments in the context of this action.

Human Rights

Human rights-based approach and its key principles (participation, non-discrimination, accountability and transparency) will be integrated throughout the action. Particular focus will be given to inclusive policies targeting women and persons living in vulnerable situations such as indigenous peoples and persons with disabilities.

Disability

Not targeted

Democracy

Not targeted

Conflict sensitivity, peace and resilience

Not targeted

Disaster Risk Reduction

Disaster Risk Reduction will be directly targeted through the AwB initiative, which is expected to develop a global risk platform integrated with EU Climate ADAPT. Disaster Risk Reduction will be indirectly supported through the UNFCCC work under the adaptation and loss and damage strands of work and the individual NDCs and National Adaptation Plans of participating developing countries.

Other considerations if relevant

Good governance will be enhanced through the participation of delegates from developing countries and emerging markets in global climate change and energy policy events and networks.

3.4. Risks and Lessons Learnt

Category	Risks	Likelihood (High/Medium/Low)	Impact (High/Medium/Low)	Mitigating measures
Support to the participation of developing countries delegates in COP26 and related UN processes.	EU contribution used to finance the UNFCCC core budget instead of activities aiming to support the participation of developing countries' representatives.	L	L	Donor coordination plays a supervisory function through the participation of European Commission representatives in the working group on the UNFCCC Secretariat's budget.
Support to clean energy access and energy transition acceleration.	Limited buy-in by developing countries into the net-zero concept, as well as to the prioritisation of clean energy access.	M	M	Not all developing countries are ready to endorse the concept of zero greenhouse-gas emissions on a national level or to increase the use of renewable energy sources for enhancing energy access. However, South Africa and to some extent China already give a positive example among major southern emitters. The project will work with those countries

				having bought into the concept and will try to influence others in that direction, by supporting the participation of developing countries' representatives in relevant UN- and IEA-meetings and processes.
Support to the International Programme for Action on Climate.	Limited buy-in by emerging countries into the net-zero concept.	M	M	See above. Given their generally rapidly growing economies, the target countries of IPAC face hurdles in adopting net-zero-pathways. ²¹ The programme will make the argument that for implementing the PA all countries will have to adapt net-zero, and will support this through targeted TA and programme activities.
Support to the Adaptation without Borders initiative.	Initiative perceived as being too Euro-centric or developed-country led.	M	L	Outreach to partner countries before COP26 on the objectives of this new initiative and on avoidance of possible overlaps. Include national gender machineries (Ministry of Women/Gender Affairs) and civil society organisations in technical meetings, particularly CSOs active in climate change, but also women's organisations and organisations representing rights of indigenous peoples and persons with disabilities.

Lessons learnt:

Part of the activities under this action fiche (especially concerning those related to the UNFCCC) are recurring activities on global climate governance. The formulation of and follow-up on lessons learnt is an ongoing activity in the EU and the wider donor community. The January 2021 Council Conclusions highlight the importance of effective multilateral structures and governance mechanisms supporting the EU's climate and energy diplomacies. The EU will support the reform and modernisation processes of international energy organisations, bodies and initiatives with a view to driving an inclusive global energy transition in alignment with Paris Agreement objectives. By the end of 2021, a new EU strategy on international energy engagement will likely draw further lessons learnt on how to best support developing countries in their energy transitions through bodies like OECD, IEA and IRENA.

On adaptation and resilience to climate change, the January Council conclusions note that these issues are a matter of priority, and in some cases survival, especially for fragile and vulnerable communities and countries. High-level events and processes such as the 2021 Climate Adaptation Summit hosted by the Netherlands can accelerate international support. Increased financing for adaptation in the developing world will be needed. A further lesson in the Council conclusions is the framing of adaptation as a security issue. Experience shows that supporting the participation of developing countries representatives in UNFCCC processes contributes to increasing ownership, better design of rules, accountability, more balanced COP decisions, and the taking into account of their concerns and points of view. A lesson learnt from previous support to UNFCCC is that there is a danger of EU support financing secretariat core functions rather than activities geared to developing countries' needs, and that the EU's and other donors' contracts with UNFCCC might overlap. Both risks are being mitigated by close relations between the European Commission and the UNFCCC secretariat in Bonn.

A continuous lesson learnt in international climate projects is the great need for support for evidence-based analysis of national, regional and global climate and energy policy scenarios. Experience has shown that such support contributes to more methodologically solid climate documents, strategies and policies. This is evidenced by new NDC submissions by developing countries in 2020 and 2021, such as Argentina, Chile, Columbia, Costa Rica, Ethiopia, Kenya, Nepal and Peru. While not having submitted a new or updated NDC to UNFCCC yet, China and South Africa are also contemplating a stronger NDC target.²² All these countries have profited from many years of international technical assistance and cooperation in climate and energy policy fields.

²¹In the recent round of NDC updates, e.g. Brazil and Mexico have not increased their climate ambition. See <https://climateactiontracker.org/climate-target-update-tracker/>

²² <https://climateactiontracker.org/climate-target-update-tracker/>

On adaptation, experience has shown that international support is a main factor in the submission and implementation of National Adaptation Plans²³ and adaptation parts of NDC and long-term climate strategies. According to UNFCCC, national adaptation planning is ‘a continuous, progressive and iterative process which follows a country-driven, gender-sensitive, participatory and fully transparent approach’²⁴. Developing countries can profit from international knowledge exchange in this rather complex planning process.

3.5 The Intervention Logic

The underlying intervention logic of this action is that in a small number of selected climate policy fields the enhanced participation of developing countries’ representatives and experts can lead to improved outcomes and impacts. The expected change to take place through this project can be summarised as qualitative and quantitative enhancement of the participation of developing countries (and in certain policy fields transition countries) in the UNFCCC and related international climate policy processes. There is confidence that positive change is likely to happen due to the plausible assumption that developing countries remain committed in international climate change cooperation forums to ensure a successful and ambitious outcome of the Paris Agreement and the SDGs for concerned populations, including the most vulnerable in LDCs and SIDS, as well as major emerging market emitters.

²³ <https://www4.unfccc.int/sites/NAPC/Pages/national-adaptation-plans.aspx>

²⁴ <https://unfccc.int/topics/adaptation-and-resilience/workstreams/national-adaptation-plans>

Logical Framework Matrix PROJECT MODALITY (3 levels of results / indicators / Source of Data / Assumptions - no activities)

Results	Results chain (a): Main expected results	Indicators (a):²⁵	Baselines (mid 2021)	Targets (end 2021)	Sources of data	Assumptions
Impact	COP26 and associated events lead to agreements which are both ambitious and have the contribution and support of all countries, in particular LDCs and SIDS.	1. Number of new NDCs submitted 2: Successful outcome of COP26 according to EU assessment	9 ²⁶ 0	191 1	NDC Synthesis reports by the UNFCCC Secretariat ²⁷ ; UNFCCC COP26 official decisions and conclusions. EU press release at the end of COP26	<i>Not applicable</i>
Outcomes	1. Developing countries contribute to successful COP26 and UNFCCC processes.	1.1 Effectiveness of participation of main negotiation groups of developing countries, as self-assessed post-COP26 ²⁸	0	3	1.1 UNFCCC Secretariat Trust Fund reports	Successful donor coordination takes place throughout the process
	2. Developing countries have enhanced their understanding of net-zero emissions pathways in the energy sector.	2.1 Number of developing countries who have formally adopted zero-emission energy transition roadmaps (including for clean energy access).	131 ²⁹	191	2.1 UN reporting, counter-checked by partner countries and think tank reports, and EU Delegations reports.	Developing countries endorse zero GHG targets at national level.
	3. Emerging economies are fully conversant with good practices on climate policies	3.1: Number of emerging market countries which are participating in the IPAC. 3.2 Number of OECD key partner countries which have adopted net-zero objectives.	0 2	5 ³⁰ 5	IPAC reporting ³¹ OECD reporting ³²	Emerging market countries endorse zero GHG targets at national level.
	4. Adaptation without Borders is received positively by developing countries	4.1: Number of developing countries which have produced a National Adaptation Plan. 4.2: Number of developing countries which are preparing a National Adaptation Plan.	22 ³³ 126 ³⁴	154 ³⁵ 0	UNFCCC NAP reporting UNFCCC NAP reporting	Continued engagement of developing countries in the NAP process

²⁵ Disaggregated gender indicators and targets will be integrated in project contracts wherever feasible.

²⁶ <https://www4.unfccc.int/sites/ndcstaging/Pages/Home.aspx> consulted on 4.7.2021

²⁷ <https://unfccc.int/process-and-meetings/the-paris-agreement/nationally-determined-contributions-ndcs/nationally-determined-contributions-ndcs/ndc-synthesis-report>

²⁸ as measured in statements by African Ministerial Conference on the Environment, Alliance of Small Island States and ACP Secretariat

²⁹ <https://www.un.org/en/climatechange/net-zero-coalition#:~:text=The%20global%20coalition%20for%20net%2Dzero%20emissions%20is%20growing&text=While%20net%20zero%20is%20a,and%20safeguard%20a%20livable%20climate.>

³⁰ While IPAC is open to a broader range of countries (OECD key partners, six prospective OECD members, G20 countries), the five key partners Brazil, China, India, Indonesia, South Africa

weigh heavy in terms of current and future emissions. Their participation would therefore be crucial.

³¹ <https://www.oecd.org/newsroom/OECD-announces-the-creation-of-the-International-Programme-for-Action-on-Climate-IPAC.htm> and subsequent OECD reporting

³² <https://www.oecd.org/env/cc/>

³³ <https://unfccc.int/topics/adaptation-and-resilience/workstreams/national-adaptation-plans> consulted on 4.7.2021

³⁴ See p.8 on <https://unfccc.int/sites/default/files/resource/NAP-progress-publication-2020.pdf>

³⁵ Number of relevant developing countries according to UNFCCC, p.8 on <https://unfccc.int/sites/default/files/resource/NAP-progress-publication-2020.pdf>

Outputs	1.1: Developing countries participate fully in COP26 and UNFCCC processes.	1.1.1: Number of developing countries whose participation has been assured by EU funding.	0	tbc ³⁶	EU UN funding agreement	Covid-situation allows in person-participation
	2.1: The net-zero movement of governments and companies committed to helping deliver the energy sector's contribution to achieving net-zero economies is accelerated and expanded.	2.1.1: Number of developing countries assisted to participate in the UN High-Level Dialogue on Energy and its follow-up activities and events.	0	154 ³⁷	UN reporting on HDE ³⁸	Developing countries remain politically committed to the UN High-level Dialogue on Energy (HDE)
	2.2 International net-zero campaign with interested partners developed	2.2.1: Number of partners supported to participate in campaign	0	154 ³⁹	UN reporting on HDE	
	2.3: Countries, particularly in Africa, supported with the development of roadmaps for energy transition and clean energy access	2.3.1: Number of countries supported in the development of roadmaps	0	tbc	EU funding agreement	
	3.1: Annual Climate Action Monitor developed and in use	3.1.1: Status of Annual Climate Action Monitor	0	5	IPAC reporting ⁴⁰	The International Programme for Action On Climate (IPAC) wins sufficient political traction among emerging market economy countries
	3.2: Dashboard of climate-related indicators operational	3.2.1: Status of dashboard	0	1	IPAC reporting	
	3.3: Country notes with targeted policy advice produced	3.3.1: Number of country notes produced	0	5	IPAC reporting	
	3.4 Interactive platform for dialogue and mutual learning across countries developed.	3.4.1: Status of interactive platform	0	1	IPAC reporting	
	4.1: Global Risk Platform established, integrated with EU Climate ADAPT tool	4.1.1: Status of Global Risk Platform	0	1	AwB reporting ⁴¹	The Adaptation without Borders (AwB) initiative will stimulate additional high-quality adaptation action by and in participating countries
	4.2: Flagship Report on the top 10 global cross-border risks drafted	4.2.1: Status of Flagship Report.	0	1	AwB reporting	
	4.3: Knowledge products produced and disseminated	4.3.1: Number of knowledge products produced.	0	tbc	EU funding agreement	
		4.3.2: Number of developing countries which have requested knowledge products.	0	tbc	Estimation to be included in funding agreement	

³⁶ To be fixed in future EU UN funding agreement

³⁷ Through policy documents elaborated by implementers through EU support

³⁸ <https://www.un.org/en/conferences/energy2021>

³⁹ Through policy documents elaborated by implementers through EU support

⁴⁰ <https://www.oecd.org/newsroom/OECD-announces-the-creation-of-the-International-Programme-for-Action-on-Climate-IPAC.htm> and subsequent reporting

⁴¹ <https://adaptationwithoutborders.org/> and reporting to donor

4. IMPLEMENTATION ARRANGEMENTS

4.1. Financing Agreement

In order to implement this action, it is not envisaged to conclude a financing agreement with any partner country.

4.2. Indicative Implementation Period

The indicative operational implementation period of this action, during which the activities described in section 3 will be carried out and the corresponding contracts and agreements implemented, is 72 months from the date of adoption by the Commission of this Financing Decision.

Extensions of the implementation period may be agreed by the Commission's responsible authorising officer by amending this Financing Decision and the relevant contracts and agreements.

4.3 Implementation Modalities

The Commission will ensure that the EU appropriate rules and procedures for providing financing to third parties are respected, including review procedures, where appropriate, and compliance of the action with EU restrictive measures⁴².

4.3.1. Indirect Management with a Member State Organisation or international organisations

This action may be implemented in indirect management with entities which will be selected by the Commission's services using the following criteria: relevant organisational mandate; technical competence in the respective policy field; organisational competence; projects track record. The implementation by these entities entails all the actions foreseen under this Action Document.

Exception to the non-retroactivity of costs:

The Commission authorises that the costs incurred may be recognised as eligible as of 1 July 2021 because of the urgent need to fund the participation of a number of developing countries' representatives in events related to the UNFCCC pre-COP26.

4.3.2. Changes from Indirect to Direct Management mode (and vice versa) due to exceptional circumstances

If the foreseen implementation modality under indirect management above cannot be implemented due to circumstances outside of the Commission's control, part of the action may be implemented through a direct grant awarded without a call for proposal. The selection criteria are spelled out under section 4.3.1.

4.4. Scope of geographical eligibility for procurement and grants

The geographical eligibility in terms of place of establishment for participating in procurement and grant award procedures and in terms of origin of supplies purchased as established in the basic act and set out in the relevant contractual documents shall apply.

The Commission's authorising officer responsible may extend the geographical eligibility on the basis of urgency or of unavailability of services in the markets of the countries or territories concerned, or in other duly substantiated cases where application of the eligibility rules would make the realisation of this action impossible or exceedingly difficult (Article 28(10) NDICI).

⁴² www.sanctionsmap.eu Please note that the sanctions map is an IT tool for identifying the sanctions regimes. The source of the sanctions stems from legal acts published in the Official Journal (OJ). In case of discrepancy between the published legal acts and the updates on the website it is the OJ version that prevails.

4.5. Indicative Budget

Indicative Budget components	EU contribution (amount in EUR)
Support to the participation of developing countries in COP26 and related UN processes	
Indirect management	3 500 000
Support to clean energy access and energy transition acceleration	
Indirect management	2 300 000
Support to the International Programme for Action on Climate	
Indirect management	300 000
Support to the Adaptation without Borders initiative	
Direct management	700 000
Evaluation – cf section 5.2 Audit – cf section 5.3	Will be covered by another decision
Communication and visibility – cf section 6	Will be covered by another decision
Totals	6 800 000

4.6. Organisational Set-up and Responsibilities

As part of its prerogative of budget implementation and to safeguard the financial interests of the Union, the Commission may participate in the above governance structures set up for governing the implementation of the action.

The projects will use, wherever possible, existing management structures of the participating institutions. Individual projects generally begin with a 3-month inception phase. However, due to the urgency to carry out a number of key activities ahead of COP26, pre-COP and HLDE, urgent procedure to kick-start activities as well as retroactivity might be needed in some duly justified cases, especially to assure the participation of LDCs and SIDS representatives in relevant events, if these are not organized on-line.

Gender equality, human rights and human rights-based approach expertise will be ensured during the implementation of the Action as possible. They will also be integrated in relevant technical assistance and capacity building activities and documents (i.e. ToRs, etc.) as minimum requirements of expertise.

4.7. Pre-conditions

No preconditions are foreseen for this action.

5. PERFORMANCE MEASUREMENT

5.1. Monitoring and Reporting

The day-to-day technical and financial monitoring of the implementation of this action will be a continuous process, and part of the implementing partner's responsibilities. To this aim, the implementing partner shall establish a permanent internal, technical and financial monitoring system for the action and elaborate regular progress reports (not less than annual) and final reports. Every report shall provide an accurate account of implementation of the action, difficulties encountered, changes introduced, as well as the degree of achievement of its results (Outputs and

direct Outcomes) as measured by corresponding indicators, using as reference the Logframe matrix (for project modality) and the partner's strategy, policy or reform action plan list (for budget support).

The Commission may undertake additional project monitoring visits both through its own staff and through independent consultants recruited directly by the Commission for independent monitoring reviews (or recruited by the responsible agent contracted by the Commission for implementing such reviews).

Roles and responsibilities for data collection, analysis and monitoring are to be established in the individual contracts to be financed under this action document.

The statistical and monitoring systems as well as the quality of official data in the policy field covered have been assessed. This assessment has fed into the design of the action as follows: data provided by the intended implementing partners, who have to meet international and organisational quality standards, is constantly reviewed by the DG CLIMA project managers responsible for this action.

Monitoring and evaluation will assess gender equality results and implementation of human rights-based approach working principles (participation, non-discrimination, accountability and transparency) in terms of implementation of the project and project outcomes. Monitoring and evaluation will be based on indicators that are disaggregated by sex and age when applicable. Key stakeholders will be involved in the monitoring process.

5.2. Evaluation

Having regard to the nature of the action, an ex-post evaluation will be carried out for this action or its components via an implementing partner. Ex-post evaluations will be carried out for accountability and learning purposes at various levels (including for policy revision), taking into account in particular the fact that parts of the activities are of a recurrent nature.

The Commission shall inform the implementing partner at least 1 month in advance of the dates envisaged for the evaluation missions. The implementing partner shall collaborate efficiently and effectively with the evaluation experts, and inter alia provide them with all necessary information and documentation, as well as access to the project premises and activities.

The evaluation reports shall be shared with the partner country and other key stakeholders following the best practice of evaluation dissemination⁴³. The implementing partner and the Commission shall analyse the conclusions and recommendations of the evaluations and, where appropriate, in agreement with the partner country, jointly decide on the follow-up actions to be taken and any adjustments necessary, including, if indicated, the reorientation of the project.

5.3. Audit and Verifications

Without prejudice to the obligations applicable to contracts concluded for the implementation of this action, the Commission may, on the basis of a risk assessment, contract independent audit or verification assignments for one or several contracts or agreements.

6. COMMUNICATION AND VISIBILITY

Communication and visibility is a contractual obligation for all entities implementing EU-funded external actions to advertise the European Union's support for their work to the relevant audiences.

To that end they must comply with the instructions given in the [Communication and Visibility Requirements of 2018](#) (or any successor document), notably with regard to the use of the EU emblem and the elaboration of a dedicated communication and visibility plan, to be completed for every action at the start of implementation.

These obligations apply equally, regardless of whether the actions concerned are implemented by the Commission, the partner country (for instance, concerning the reforms supported through budget support), contractors, grant beneficiaries or entrusted entities. In each case, a reference to the relevant contractual obligations must be included in the respective financing agreement, procurement and grant contracts, and delegation agreements.

⁴³ See best [practice of evaluation dissemination](#)

Communication and visibility measures may be funded from the amounts allocated to the action. For the purpose of enhancing the visibility of the EU and its contribution to this action, the Commission may sign or enter into joint declarations or statements, as part of its prerogative of budget implementation and to safeguard the financial interests of the Union. Visibility and communication measures should also promote transparency and accountability on the use of funds.

Effectiveness of communication activities on awareness about the action and its objectives as well as on EU funding of the action should be measured.

Implementing partners shall keep the Commission and concerned EU Delegations fully informed of the planning and implementation of specific visibility and communication activities before work starts. Implementing partners will ensure adequate visibility of EU financing and will report on visibility and communication actions as well as the results of the overall action to the relevant monitoring committees.