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Strengthening the capacity of developing countries to prepare for and participate in negotiations on future actions under the UNFCCC and its Kyoto Protocol

**The BASIC Project Final Report
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The BASIC Project is a capacity strengthening project – funded by the European Commission – that supports the institutional capacity of Brazil, India, China and South Africa to undertake analytical work to determine what kind of climate change actions best fit within their current and future national circumstances, interests and priorities. Additional funding for BASIC has also been kindly provided by the UK, Department for

Environment, Food and Rural Affairs and Australian Greenhouse Office. For further information about BASIC go to <http://www.basic-project.net/>

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1 Introduction

This Report is being submitted as part of the completion of the BASIC Project: *Strengthening the capacity of developing countries to prepare for and participate in negotiations on future actions under the UNFCCC and its Kyoto Protocol* funded by the European Commission under Grant Agreement No. 07 02 01/2004/390240/SUB/C2. The Project commenced in January 2005 and was scheduled to last for 2 years. An extension period of six months was granted in December 2006. This Report summarizes from a technical perspective the main objectives, outputs and achievements resulting from the grant from January 2005-June 2007. A separate financial report sets out how the funds from the Commission were expended to support the actions covered by the grant.

The Report is set out as follows. **Section 1** sets out the background and objectives of the BASIC Project and then provides an overview of the overall achievements and deliverables that were accomplished as a result of the Project. The objectives and deliverables were achieved through a programme of work clustered around five core tasks led by BASIC country teams:

- Task 1 – Energy, mitigation and sustainable development (China Team)
- Task 2 – Adaptation and vulnerability (India Team)
- Task 3 – Policy coherence and institutional coordination (South Africa Team)
- Task 4 – Designing international climate change policy and negotiations skills (Brazil Team)
- Task 5 – Creation of developing country expert group/mechanism on a long term basis (IDS and all Teams)

Section 2 sets out the specific achievements and outputs from each of these five core tasks. **Section 3** summarizes the dissemination of the results of BASIC. **Section 4** provides an evaluation of the BASIC Project from the perspective of BASIC participants and describes how follow up work and related initiatives are being pursued to take forward the multi-layered network established by BASIC Project. **Section 5** lists the BASIC papers, publications and other materials generated by the BASIC Project. For ease of reference these papers and materials are supplied in a separate bound volume from this Final Technical Report.

1.1 Background and Objectives of the BASIC Project

The objective of the BASIC Project was to support the institutional capacity of four key developing countries, Brazil, India, China and South Africa, to undertake analytical work to determine what kind of national and international climate change actions best fit within their current and future circumstances, interests and priorities. To achieve this end BASIC created a multi-national project team linking over 40 individuals from 25 research and policy institutions, the majority based in BASIC countries. These four countries were chosen because of their environmental, economic, social and political importance.

The Project focused on three components of capacity development: (1) strengthening in-country institutional capacities (2) strengthening analytical capacity to analyse and put forward future action proposals and understanding others' and (3) strengthening negotiating skills of existing negotiators as well as training new-comers. Project activities over the 30 months period from January 2005-June 2007 comprised a mix of research, policy analysis, briefings, workshops, conferences, mentoring and training clustered around five tasks lead by teams as follows:

- Task 1 – Energy, mitigation and sustainable development (China Team)
- Task 2 – Adaptation and vulnerability (India Team)
- Task 3 – Policy coherence and institutional coordination (South Africa Team)
- Task 4 – Designing international climate change policy and negotiations skills (Brazil Team)
- Task 5 – Creation of developing country expert group/mechanism on a long term basis (IDS & all Teams)

The underlying premise of the BASIC Project was that countries' varied experience of implementation of the UNFCCC/Kyoto will determine to a large degree their capacity, and political willingness, to engage constructively in the evolution of future climate. It was agreed that to date international climate policy had tended to be internationally determined and based on top-down approaches that have often been advocated in advance of analytical work examining the feasibility of domestic implementation. BASIC sought to reverse this dynamic and to ensure that future climate policy would be informed by countries' particular circumstances and challenges. Thus the multi-level network created by the BASIC Project sought to unite experts from developed and developing countries engaged in both domestic implementation and international climate policy & negotiations. By doing so, it created a flexible institutional structure to strengthen the capacity of these countries to formulate climate policy that best reflects their national circumstances, strategic interests and priorities. Because the capacity being developed by the BASIC Project related both to formulation and analysis of proposed international agreements and to development and implementation of domestic policy, the BASIC Project sought to make a contribution to understanding the circumstances and challenges facing developing countries as well as enhancing their negotiating skills and capacity in relation to post 2012 international climate policy.

An additional rationale for the BASIC Project was that opportunities for developing country representatives and experts to meet each other to share analysis and experiences are currently extremely limited. The BASIC Project tried to redress this by providing significant opportunities for such interactions through the establishment of the BASIC network and by instigating a series of in-country and international workshops where a wide variety of participants could meet in an informal setting. The BASIC Project workshops thus aimed not only to enhance capacity building and joint analytical work in relation to specific Tasks 1-4 but also tried to provide opportunities for BASIC Project participants to consider how a long term collaborative network/mechanism(s) could be designed to assist a broader range of representatives and experts from developing countries play an enhanced role in the design, implementation and evolution of the climate regime.

1.2 Overview of Outputs and Achievements

Considering the short period of time in which it has been running, the BASIC Project has accomplished an impressive set of tangible and intangible achievements. The tangible achievements are the BASIC website, the BASIC network, six BASIC workshops, side events at COP 11& 12 and 18 papers (excluding workshop reports) and over 100 presentations by BASIC team members at BASIC and other fora of work undertaken pursuant to BASIC. These are described below.

BASIC Website & BASIC Network

The early part of 2005 saw the swift establishment of the BASIC website: <http://www.basic-project.net/>. The purpose of the website was to facilitate rapid communications among the Project Team as well as to ensure rapid dissemination of early results with relevant audiences. The early phase of the Project also focused on widening the BASIC team beyond the original members listed in the funding proposal to include other research and policy institutions in BASIC and other countries.

The kick off BASIC Project workshop in March 2005 in Paris was deliberately timetabled to “piggy back” with the OECD Annex I Experts Group and Seminar with Developing Countries meetings to ensure awareness of the BASIC Project among a high level of policy makers in both developed and developing countries. The March 2005 workshop was organized in what became a typical BASIC format comprising three components: informal opportunities the day before the meeting for the BASIC Team to meet each other and high level policy makers through a drinks reception/ dinner; a “closed” meeting among BASIC Project Team members and a wider more public meeting and/or intensive interactions with climate relevant policy makers with reports of the public meetings being available rapidly through the BASIC website.

BASIC In-Country Meetings

During the 11 months period from October 2005 and August 2006, BASIC convened in country conferences and workshops in the four BASIC countries with each meeting lasting between 2.5-4 days as follows:

- 16 to 19 October 2005, Johannesburg, South Africa, BASIC meeting hosted by Palmer Development Group & held in conjunction with South Africa’s National Climate Change Conference
- 17 to 18 February 2006, Beijing, China, BASIC meeting hosted by Chinese Academy of Social Sciences on “Linking Climate Mitigation Policy and Modeling in China”.
- 11 to 12 May 2006, New Delhi, India, BASIC meetings and 2 day National Conference on “Vulnerability and Adaptation to Climate Change: From Practice to Policy,” hosted by Winrock International, India, with support from the BASIC India Team
- 6 - 9 August 2006, Sao Paulo, Brazil, BASIC workshop and one day public conference on “Future International Climate Policy” hosted by Institute of Advanced Studies, University of Sao Paulo.

A concluding BASIC meeting was held in Brussels in March 2007 at which all BASIC country teams were represented. Like the kick off meeting, the final BASIC meeting was timetabled to “piggy back” with the European Climate

Programme (ECP)/Centre for European Policy Studies (CEPS) High Level Colloquium on Climate Change: Key Issues for the Crucial Years Ahead. This meeting enabled the BASIC Project Team to meet with a wide range of European policy makers who might not normally attend climate negotiations to become familiar with the outcomes of the BASIC Project.

The agendas, participants list, final outputs and presentations from each of the six BASIC meetings are described in detail in Section 2 under the core Task these meetings supported and available from the BASIC website. At all six BASIC meetings opportunities were sought to engage with a broader range of climate policy makers than represented at international negotiations and where appropriate to connect with national and international media. The kick off BASIC meeting in Paris, for example, resulted in a presentation by the BASIC Team to the entire OECD Annex I Experts Group and a key note speech by Professor Jose Goldemberg on the challenges facing the climate regime which resulted in press interviews and coverage of the BASIC Project by French media. The Project Director and members of the South Africa BASIC Team were featured on national breakfast television in South Africa to provide information on climate impacts on developing countries. The BASIC workshop in Sao Paulo comprised a one day open conference attended by over a hundred people from academia, NGOs, representatives from the media and from business as well as national and regional climate policy makers. Part of the Sao Paulo meeting was webcast through the facilities of the University of Sao Paulo and also resulted in press and television coverage in Brazil.

BASIC Side Events

Apart from their formal sessions, each BASIC meeting was accompanied by a series of BASIC “side events” held at lunchtimes or a day either side of the BASIC meetings. These enabled BASIC team members to contribute to wider BASIC goals such as outreach and training beyond the confines of the BASIC Project Team and thus to maximize the in-country contribution to capacity development from visiting BASIC Team members. For example, BASIC Team members from Ecofys ran a series of training workshops on “International Climate Policy Post 2012: Quantitative Tools & Negotiating Capacity” on the margins of the BASIC meetings in South Africa, China and Brazil. These side events provided an introduction and ‘hands-on’ experience with some of the models currently being used to quantify the economic and other implications of different international climate policy regimes post 2012, covering the following models: CAIT tool developed by WRI, the EVOC model developed by Ecofys & the FAIR model developed by MNP/RIVM.

As the analytic results of BASIC research and policy analysis became available, the BASIC Team also organized side events relevant to the agenda of the UNFCCC Conference of the Parties (COP). The first BASIC side event at the UNFCCC took place at COP-11/MOP-1 in Montreal, Canada. As the CDM was a crucial point of negotiations in Montreal, Shirene Rosenberg from the South Africa BASIC Team highlighted suggestions for improvements to the Clean Development Mechanism – (CDM) arising from her analysis of the CDM carried out under the BASIC Project and distributed advance copies of her CDM paper. The side event was well attended and covered by Earth Negotiations Bulletin On the Side (ENBOT), Volume 17, Issue No. 10, UNFCCC COP 11 & Kyoto Protocol COP/MOP 1, Montréal, Canada, Friday, 9 December 2005. Copies of a paper by the Project Director on the issues and options arising from a “Montreal Mandate” for post 2012 climate policy

discussions that had originally been part of the BASIC work discussed among the BASIC team at the South African National Climate Change Conference was also disseminated to help policymakers beyond the BASIC countries understand the various procedural and legal implications of diverse routes for future climate policy discussions.

At COP-12/MOP2, held in Nairobi, Kenya, BASIC organized a side event comprising an explanation and panel discussion among senior policy makers from BASIC and other countries of the proposals put forward under Task 4 of BASIC entitled the Sao Paulo Agreement on Future Climate Policy. The Sao Paulo Agreement comprises one of the most detailed packages set forth to date on future international climate policy covering sustainable development, GHG emissions, technology and adaptation. The BASIC side event attracted over a hundred people covering many senior policymakers and think tanks and was widely described as one of the most interesting substantive side events held in Nairobi. The event was webcast by the UNFCCC secretariat (<http://www.un.org/webcast/unfccc/archive.asp?go=106>). It also featured as the main side event covered on page 1 and 2 of ENBOTS, Volume 12, Issue No. 6, UNFCCC COP 12/MOP 2, Nairobi, Kenya, Monday, 13 November 2006. A similar side event was organized for the May 2007 Subsidiary Bodies meetings (see ENBOTS, UNFCCC SB 26, Thursday, 17 May 2007 (Issue Number 8)).

BASIC Papers

Since Nairobi, most of the BASIC Team has focused on completion of the analytical and advisory work undertaken as part of the BASIC Project. This has resulted in a total of eighteen papers some of which have already been published in peer reviewed journals with other submissions likely in the coming months. Plans to disseminate this substantial body of work through the internet, CDs and by more traditional publication routes are in hand and are set out in more detail in Section 3.

Not all the outputs related to the tasks were designed for peer review publications as would be typical in a more academically orientated research project. Rather BASIC focused more on policy orientated analysis, capacity development and on ensuring that specific outputs contribute to the evolution of domestic and international climate policy whilst taking the BASIC countries' particular circumstances and challenges into account. The final papers from the Tasks are in some cases targeted to international audiences who need to be aware of these country specific circumstances and constraints (such as China BASIC Papers 1 and 2 on energy models and emissions scenarios and South Africa BASIC Paper 11 and 12 on national institutional structures and legal options for the development and incorporation of climate policy in existing frameworks). In other cases the final outputs are designed to provide a readily accessible route for newcomers to a field to understand the state of the art in a particular area (such as India Paper 7 which takes the form of a handbook of current and next generation tools for assessing vulnerability and adaptation or the Brazil BASIC Paper 14 on the history of negotiations on future climate policy). Finally some of the papers serve the broader BASIC objective of contributing to the development of such policy by generating "blue sky" thinking (such as the Brazil BASIC Paper 16 on future international climate policy and the China BASIC Paper 3 on a "basic human needs" approach to allocation of climate rights and responsibilities).

In sum, the collaborative analytical work undertaken by BASIC Task Teams on the final papers combined with the BASIC workshops, conferences and side events convened provided BASIC Team members with extensive opportunities to engage in depth with national policymakers and climate policy networks from around the world. The intense first phase of BASIC meetings helped to build trust and good working relationships among the BASIC Team which have subsequently lead to “bilateral” requests for BASIC team members to speak at various non-BASIC conferences and generated new configurations of the Team in respect of new projects such as the WWF led SNAPP 2012 Project described in Section 4. These projects and requests evidence the fact that the BASIC network has taken root beyond the life cycle of the BASIC Project.

The BASIC meetings also gave ample scope for formal and informal networking by the BASIC team with a wide array of national policymakers who are increasingly more and more interested in knowing what is going on domestically in other jurisdictions and want examples of what works (doesn't) and why. Indeed, many important requests for advice and assistance from BASIC Team members took place informally through oral briefings or through email exchanges especially on matters relating to the UNFCCC agenda items. Although six international meetings in 18 months presented administrative and scheduling complications, the intensity of face to face interactions was important for mentoring of newer researchers. It has also secured a solid foundation for the operation of the BASIC network which continues to function through virtual means even though the first funded phase of the Project has now been completed.

2 Task Specific Outputs and Achievements

As set out above, work under the BASIC Project was clustered into five tasks, four of which were led by different country teams. Given limited resources, this division of labour enabled the Project to cover the key issues facing the BASIC countries in coming years: mitigation, adaptation, carbon markets, technologies, policy coherence and institutional issues and the design of future international climate policy. An additional fifth task covered thinking about a longer term mechanism or expert group to support analytical work for developing countries. This section describes the specific BASIC objectives and outputs in relation to these five tasks.

2.1 China Team, Task 1, Energy, mitigation and sustainable development

2.1.1 Core Objectives

On a historic and per capita basis Chinese emissions of greenhouse gases (GHGs) remain low when compared with developed countries. In terms of future climate policy, however, China's emissions present a major challenge as they are growing rapidly and according to the IEA will surpass those of the United States by the end of the decade. Understanding the sources, scale and timing of GHG emissions is fundamental to any country being able to understand its opportunities and costs of climate change action. Modeling such emissions is a foundational step in undertaking a sound national assessment of feasible mitigation policies and actions. As climate change is a global problem, a sound understanding of the significance of modeling results is also

crucial for China's negotiating partners and other international actors. The aim of Task 1 was to ensure:

- there is a better analytical basis for understanding the various economic and energy models utilized to understand China's current and future GHG emissions; and
- to broaden understanding about the contribution various policy instruments could make in integrating climate change considerations into China's environmental and developmental planning whilst maintaining security of energy supplies and satisfying legitimate developmental needs.

As a time bound project, BASIC could not focus on all aspects of these challenges. The BASIC Project choose to focus on the link between modeling and policy because in recent years there was a major misalignment between ideas in climate literature on China's role in future climate policy and the assumptions and outcomes coming out of various modeling exercises with a possible danger that models might misinform policy making. The BASIC meeting in China and resulting papers tried to illuminate the contribution and limits models could make to understanding Chinese emissions and mitigation opportunities and, based on that understanding, to spell out implications for choices about the kinds of policy instruments that might be developed at the domestic and international level to integrate climate mitigation into China's sustainable development planning framework. This focus would support analytical work not just by the BASIC Team but also a wide range of policy makers and analysts who would need to work on China beyond the lifetime of the BASIC Project.

The BASIC China Team comprised the following institutions and individuals.

BASIC China Team

Ministry of Science and Technology, China	Lu Xuedu
Institute of Environment and Sustainable Development for Agriculture, Chinese Academy of Agriculture Sciences (CAAS)	Lin Erda, Li Yue, Xiong Wei, Wu Yanjuan
Research Centre for Sustainable Development, Chinese Academy of Social Sciences (CASS)	Jiahua Pan, Ying Chen, Guiyang Zhuang
Global Climate Change Institute, Tsinghua University	Duan Maosheng, Fei Teng, Alun Gu
BASIC Support Team: Erik Haites, Margaree Consultants, Rob Bradley, Jonathan Pershing and Hilary McMahon, World Resources Institute, Niklas Höhne, Ernst Worrell, Kornelis Blok, Ecofys, Carine Barbier and Laurence Tubiana, Institut du Développement Durable et des Relations internationales (IDDRI), Harald Winkler, University of Cape Town and Jan Corfee-Morlot, OECD	

2.1.2 China BASIC Papers

Paper 1 (Energy Models in China: a Literature Survey, Fei Teng, Alun Gu and Maosheng Duan, Tsinghua University) describes the current top down and bottom up models used by Chinese modellers covering a variety of inter-linked topics including energy, environment and the economy. The paper helpfully explains the strengths and limitations of these models and the purposes for

which they are used by a diversity of policymakers ranging from environment ministries to finance and planning ministries. The paper concludes that more work is needed to elaborate some of the key models as they do not take the characteristics and specificities of developing countries into account. Two examples are that (1) many models assume markets set prices, as is largely the case in developed countries where the models originated, whereas in China, as in many other developing countries, energy prices are heavily regulated although markets are becoming more important and (2) the lack of attention to non-commercial (informal) energy use in rural areas – again resulting from the fact that most models originated in developed countries. The paper suggests “an energy modelling forum for Chinese modellers and policymakers” be created to help the diversity of domestic and international actors who now need to understand “the China story” get to grips with the significance of modelling results as well as to enable modellers to develop a set of standard reference and policy scenarios which currently vary widely among the reviewed models. Although Paper 1 is focused on China which has a high capacity to undertake modeling, it makes a contribution to broader capacity development by helping climate researchers and policymakers from other developing countries as many of the models discussed in the paper are increasingly being deployed elsewhere.

China’s place in the global energy economy makes its emissions trends vital for understanding the overall climate change challenge faced by the world. Yet at the moment China’s emission trends are poorly understood and hard to predict. **BASIC Paper 2 (A Preliminary Analysis of Modelling Results Relevant to China from the International Emission Scenarios Database**, Ying Chen, Jiahua Pan and Guiyang Zhuang, Chinese Academy of Social Sciences, Lu Xuedu, Ministry of Science and Technology, China) makes a significant contribution to understanding the limits of our ability to forecast China’s emissions. The paper explains why all the international models consistently overestimated China’s emissions growth in the period 1990-2000. Improvements might help rectify such discrepant results for the future but improving modeling capabilities will require significant resources. Two significant policy relevant insights emerge from this paper: (1) for the time being it will not be possible to set emissions targets in China with any degree of confidence and (2) in an economy undergoing such rapid and large scale transitions as those in China, it may simply not be possible to project future emissions reliably on a national scale. Accordingly, work to better understand emissions from specific sectors and on underlying factors influencing energy intensity might be worth investigating.

China BASIC Papers 3- 5 are focused on the contribution various approaches and policy instruments could make to integrating mitigation in climate change in China’s sustainable development framework. **Paper 3 (Energy Requirements for Satisfying Basic Needs, China as a case for Illustration**, Jiahua Pan and Xianli Zhu, Chinese Academy of Social Sciences, China) takes a carbon constrained world as a starting point. It suggests that for the purposes of energy planning and mitigation policies, energy requirements should be limited to those required for meeting “basic human needs” which are then defined and quantified for China by way of illustration in a detailed manner using methodologies that could be adapted for other countries. The purpose of the basic needs approach is not to arrive at a total sum of carbon in order to impose “rationing” on individuals. Rather, the main aim is heuristic: to illustrate the direction and order of magnitude of the energy challenges facing China and to ensure that energy planning processes look at consumption and

demand side issues and the implications of different lifestyles & consumer choices for development pathways and different levels of mitigation – aspects that tend to be neglected in traditional energy planning policy processes focused on supply side solutions. The “basic needs” approach was explained at a side event by CASS at the UNFCCC COP 12/MOP 2, Nairobi, Kenya, see ENBOTS, Volume 12, Issue No. 6, Monday, 13 November 2006.

Paper 4 (The Role of Policies and Measures for Climate Mitigation in China, Rob Bradley and Hilary McMahon, World Resources Institute, USA) examines the emerging landscape of Chinese engagement in national and international climate policy taking China’s energy sector and current social, economic and developmental challenges as a starting point. The paper discusses the significance of China’s 11th Five Year Plan and the more recent National Climate Change Programme (CNCCP), released in June 2007, and asks, in particular, whether quantified emissions limitations are really the right policy instrument for China. The analysis in this paper, combined with the conclusions of Papers 1 and 2, suggests that it will not be possible in the near future to set meaningful emissions targets for China as economic and energy statistics are uncertain for technical and political reasons and limited institutional, financial and administrative capacities exist to set, monitor and enforce such targets. The paper suggests that an alternative approach – embedding climate mitigation measures into non-climate specific policies and plans as described in the CNCCP - might yield considerable climate benefits and for that reason should form the basis of international cooperation and assistance. Designing a range of metrics by which implementation of such measures might be subject to assessment and comparison presents considerable analytical and technical difficulties. But the paper argues these should not detract from the need for increased international collaboration to support China’s commitment to changing the trajectory of its GHG emissions.

The Clean Development Mechanism (CDM) is a form of international collaboration designed to assist developing countries’ meet their sustainable development goals whilst contributing to the reduction of GHG emissions by Annex I Parties. China has played a leading part in the set up of the CDM, has many of the biggest CDM projects and would like to see the role of the CDM increased. Although the CDM does not have an explicit technology transfer requirement, **Paper 5, (Technology Transfer by CDM Projects**, Erik Haites, Margaree Consultants Inc., Canada, Maosheng Duan, Tsinghua University, China, Stephen Seres, Climate Change Analyst/Economist, Canada) undertaken by the China Team for the benefit of BASIC and other developing countries, analyzed the claims of technology transfer made by CDM project participants in their project design documents. The paper concluded that technology transfer is more likely to take place for larger projects and for projects with foreign participants and that a host country can influence the extent of technology transfer involved in its CDM projects. This can be done through, for example, domestic requirements specifying technology transfer requirement for projects as is the case for China. The analysis in paper 5 also contributed to Task 3, institutional and policy coherence which focused on the design and operation of the CDM in the South African context, discussed below, and thus was also of relevance to Task 4 as all developing countries are interested in strengthening the CDM under negotiations concerning future climate policy.

The final BASIC paper prepared by the China Team, **Paper 6 (Climate Change Impacts, Vulnerability and Adaptation in China**, Li Yue, Xiong Wei

and Wu Yanjuan, Institute of Environment and Sustainable Development for Agriculture, Chinese Academy of Agricultural Sciences, China) contributed to Task 1 and to Task 2 (Vulnerability and Adaptation). Most policy literature on climate change and China focuses on mitigation yet the climate challenges faced by China also involve having to address the large number of climate impacts that might negatively impact China's ecological, social and economic systems. Paper 6 examined the adaptation challenges facing China by providing an update on current research on climate impacts, vulnerability and adaptation in China in four key sectors: water, agriculture, terrestrial ecosystems, and the coastal zones. It concludes that many uncertainties remain and whilst a changing climate could bring some positive opportunities, there are many negative consequences for China that should be addressed through more in-depth work on vulnerability and adaptation beyond the initial preliminary studies. The paper also underscored the need for development of new conceptual frameworks, tools and methodologies to assess vulnerability and adaptation which has been undertaken by the BASIC India Team under Task 2.

2.1.3 BASIC Beijing Meeting, February 2006

The BASIC China meeting, "Linking Climate Mitigation Policy and Modeling in China", hosted by CASS and the China Team took place in Beijing from 17-18th February 2006. The timing was designed to fit around the IPCC Working Group III Lead Authors meeting held in Beijing at the same time as many of the BASIC Team were involved in the Fourth Assessment Report. The IPCC meeting represented an important opportunity to reach out to others modellers in the IPCC to engage them in thinking about aspects of Task 1, in particular, the merits of establishing a network or other mechanism for engagement of modellers and policy makers. Policy makers from China not formally part of the BASIC Project, such as the Ministry of Foreign Affairs and the National Development and Reform Commission, participated in the BASIC meeting alongside representatives from the Energy Research Institute and other Chinese universities and NGOs. Representatives from the European Commission and from UK, DEFRA, who had kindly provided additional funding for the workshops, were also able to attend.

The main part of the workshop examined the state of energy and economic modeling in China and the policy implications of incorporating climate mitigation policies in China's economic and social development with a series of presentations and international discussants commenting on advanced drafts of the China Team's papers. The workshop provided an opportunity for Chinese modellers and climate policy experts to engage with international experts, including those participating in the IPCC WG III Lead Authors meeting in Beijing. Discussions on the merits of a longer term network of organizations and individuals interested in future collaboration work on modeling an climate policy in China were positive to such an idea & agreed that "bridging mechanisms" would be useful to induce higher levels of engagement between policymakers and modellers. It was considered, however, that this would be best be undertaken outside the limited resources and timeframe of the BASIC Project and should ideally be led by organizations that were specialized in modelling related networking activities such as the Energy Modelling Forum.

The Beijing meeting also provided an opportunity for the Task 4 Team and BASIC members from WRI to do a BASIC "side-event" on tools and negotiating

capacity relating to international climate policy post 2012 as well as team members from Brazil and South Africa to provide progress reports on their work (see Task 4 below).

All the presentations made at the Beijing meetings are available from the BASIC website. An informal report of the workshop discussions, prepared for internal BASIC records, together with a participants list, is included in the bound volume of papers and materials supplied with the Technical Report.

2.2 India Team, Task 2, Adaptation and vulnerability

2.2.1 Core Objectives

Climate change may turn out to be abrupt and rapid, rather than gradual and linear. Some degree of adaptation will be necessary as a result of emissions that cannot be reversed by mitigation. Impacts are likely to disproportionately affect developing countries and vulnerable groups. There is increased realization within the scientific and policy community that greater attention must be given to adaptation in both developed and developing countries. Unlike mitigation where a wide range of models and assessment tools were created by developed countries for their own use, the development of vulnerability assessment and adaptation (VA) tools has tended to lag behind. Activities and outputs under Task 2 were intended to support the evolution and implementation of climate policy in respect of adaptation at local, national and international level.

These activities and outputs were assigned to the BASIC India Team, described below, as the Indian BASIC Team has a high degree of vulnerability and adaptation related expertise that could be more widely shared with BASIC and other developing countries. Although each country has unique natural endowments and circumstances and adaptation is context specific, India was chosen as the focus of VA work by BASIC as it has a wide range of geographic features include mountainous areas (Himalayas), coastal areas, northern plains, a peninsular plateau and islands. The premise was that India's varied soils, climate, biodiversity and ecological regions would generate vulnerability and adaptation tools and methodologies that could be relevant outside the Indian context. Additionally, as around 650 million Indian people are dependent on rain (monsoon) dependent agriculture, it was considered that learning about how India will mainstream adaptation to make the livelihoods of these people more secure in a changing climate would generate important implementation lessons for other developing countries and for donors. These objectives would be pursued through:

- BASIC linking in analytical work done by other networks and initiatives active on climate change adaptation at the local/community level on adaptation and vulnerability with those working on climate modelling and at the international level to ensure local and national needs were reflected in international policy;
- mutual learning between BASIC countries about the experience and insights gained from the innovative preparation of India's First National Communication which has supported the preparation of VA assessment in a relatively high degree of detail;

- an in-depth examination of current existing vulnerability assessment tools and their strengths and weaknesses, focusing on older tools as well as more recent ones (e.g. UNDP Adaptation Framework and NAPAs) and analytical work mapping out new conceptual frameworks, tools and methods to help mainstream climate adaptation; and
- consideration of extension of internationally available indicators and tools related to VA such as in World Resources Institute's Climate Analysis Indicators Tool (CAIT).

BASIC India Team

Winrock International, India, New Delhi	Sumana Bhattacharya, Aditi Dass
Energy Environment Analytics, Ahmedabad	Amit Garg (also at UNEP Riso Centre), Ashish Rana, PR Shukla
Maulana Azad National Institute of Technology, Bhopal	Manmohan Kapshe
Technology Information Forecasting and Assessment Council	Anand Patwardhan, Meeta Ajit
Indian Institute of Technology (IIT), Mumbai	K Narayanan, D. Parthasarathy
BASIC Support Team: Farhana Yamin, Institute of Development Studies, Habiba Gitay, World Resources Institute	

2.2.2 India Papers

BASIC Paper 7 (Lessons Learnt for Vulnerability and Adaptation Assessment from India's First National Communication, Sumana Bhattacharya, Winrock International, India) sets out the process and substantive conclusions emerging from submission by India of its First National Communication (NATCOM). About 16 ministries and departments and 117 institutions covering universities, research institutions, NGOs and industry associations participated in the NATCOM process resulting in a wide range of materials raising awareness of climate impacts and engaging stakeholders and an extensive institutional processes that helped build relationships between senior policy makers and those involved in the NATCOM process. The paper summarizes climate change impacts on India focusing on water resources, agriculture, forests, coastal zones and human health. It describes the technical limitations of impact assessments, including uncertainties surrounding models, the low resolution of available models and the lack of integrated assessments due to the sector specific and stand alone nature of studies done for NATCOM. It argues that taking socio-economic parameters such as land use, population dynamics and livelihood changes will enable a more useful product and better link scientific assessments with human dimensions, including institutional arrangements for governance and implementation. The paper concludes that one of the most important lessons learnt was the need to further develop institutional and human capacity which is still too scarce in a country as large as India especially given the numbers of people likely to be impacted by climate change. India has a large science and technology institutional base in many areas relevant to climate change but this has to be developed in a more

consistent fashion to support policy making over the medium and long term. The NATCOM process sensitized a wide range of policy makers at the national level and resulted in a nascent network. But more work needs to be done to bring in policymakers/stakeholders from village, district and state level as well as the private sector as each of these will play a crucial role in future VA assessment and implementation.

Paper 8 (Handbook of Current and Next Generation Vulnerability and Adaptation Assessment Tools, Amit Garg, Ashish Rana and P.R. Shukla, Energy Environment Analytics Limited India, Manmohan Kapshe, Maulana Azad National Institute of Technology, India, with contributions from K Narayanan, D. Parthasarathy and Unmesh Patnaik, Indian Institute of Technology, Bombay, India) is an effort towards providing an introduction to frequently used VA tools so that users can make are better informed decisions about which tools to use. By looking at the strengths and weaknesses of commonly used tools and providing an independent critique of their merits, the Handbook complements other more descriptive guides to tools that are available, such as the guide provided by the UNFCCC. Three kinds of tools are covered in the Handbook: impact and vulnerability tools; adaptation policy assessment tools and integrated vulnerability and assessment tools. The Handbook examines their applicability in India and South Asian region as a whole.

The review of current methods and tools to measure vulnerability and adaptation reveals several gaps and limitations. Most indices & measurements of VA use a very narrow definition of vulnerability and have constructed a common set of proxies or variables at the macro and micro level which ignore the specificities of local or regional factors that are crucial in determining vulnerability and adaptive capacity. However vulnerability is due to several factors. The Handbook develops a comprehensive framework for vulnerability assessment that encompasses various dimensions and suggests an index that can be quantified and compared over a period of time. The final chapter of the Handbook thus breaks new ground and is a departure from existing methods and tools. The new method focuses on indicators that measure (a) the dynamic context of livelihoods, demography, agro-climatic aspects and infrastructure (b) the state of development of a region or population and (c) a population's capacity to progress in economic and social terms. As the new conceptual framework gives a richer, more complete picture of socio-economic vulnerability and adaptive capacity, it is an important contribution to BASIC and other countries in moving forward with concrete adaptation policies, programmes and projects.

Paper 9 (Vulnerability to Drought, Cyclones and Floods in India, Sumana Bhattacharya and Aditi Das, Winrock International, India) is a study of vulnerability focused on three prominent climate extremes that India is affected by repeatedly: droughts, floods and cyclonic storms. The paper analyzes vulnerability "hot spots" in three states where these hazards are prevalent: Andhra Pradesh, Uttar Pradesh and Orissa. Its breakthrough contribution is that it tries out a more sophisticated approach to assessment of vulnerability than the summation of indicators used by previous studies arguing that the new approach is more likely to be useful for supporting mainstreaming of climate adaptation in countries such as India where present day climate threats and extremes, not future climate change, dominate everyday realities. The paper explains the shortcomings of previous understandings of vulnerability in the literature. It focuses, instead, on conceptualizing vulnerability using clearly

defined outcomes of interests. The quantification of vulnerabilities is done according to two approaches the merits of which are compared: simple averaging of normalized indicators and the fuzzy inference system the application of which is relatively new and thus limited in current literature. The paper argues that the fuzzy inference system allows a more nuanced approach to assessing sensitivity, adaptive capacity and vulnerability to droughts, floods and cyclones. The study used state level data but the approach could be refined further if data from the district level were analyzed as it would show “hot spot” sub-regions which could then be more clearly targeted by adaptation policies.

The IPCC has confirmed that climate change will increase the frequency and intensity of some extreme climate events. From being viewed as a response mechanism at the end of the impact cycle, adaptation is now identified as a process that builds the resilience of communities to the impacts of climate change and variability and thus enhances the process of sustainable development. This has strengthened the rationale for “mainstreaming” adaptation into development processes. Most studies are now seeking to answer questions “why mainstream” and “how to mainstream”. **BASIC Paper 10 (Disaster Prevention, Preparedness and Management, and Linkages with Climate Change Adaptation**, Anand Patwardhan and Meeta Ajit, Technology and Information Forecasting Assessment Council, India) develops an approach that looks at institutional structures and interfaces as a way of identifying the possibilities and actions for mainstreaming climate change adaptation in the disaster management context. It argues that climate change adaptation and disaster management frameworks have thematic as well as institutional linkages. Both domains address similar issues and similar sets of actors, yet currently disaster management is further evolved and has a stronger legislative base. One approach to mainstreaming climate adaptation would be through integrated institutional frameworks. Yet in India, parallel structures exist for climate adaptation and for disaster management and mean similar sets of stakeholders remain in isolation. By mapping out institutional structures and interfaces, the paper highlights possible entry points for climate adaptation into disaster management structures in India.

2.2.3 BASIC India Meeting, May 2006

The India BASIC meeting was organized as a major two day international workshop on “Vulnerability and Adaptation to Climate Change: From Practice to Policy.” The workshop aimed to provide a timely opportunity to understand the scientific and social issues governing vulnerability and adaptation process both at the global and national level by bringing together national and international experts, policy makers and concerned stakeholders. Apart from the BASIC team, the workshop was well attended with around 80 participants, including representation from the Indian government and international organizations and donors at the front line of work on climate adaptation such as the UNFCCC secretariat, the World Bank, the European Commission and UK Department for International Development.

The participants agreed that climate change and variability poses one of the greatest challenges to humankind at global as well as local levels. Development of strategies for supporting adaptation and responding to the consequences of climate change will require collaboration at local, regional

and global level, across disciplinary boundaries and between different sectors of the economy. In order to understand the scale of preparedness required to combat the likely adverse effects of climate change, it was agreed that research, capacity building and development of new tools and methodologies was necessary to support the technological, policy and risk sharing interventions that will be required adapting to climate change. The workshop was organized to address five major thematic strands in the emerging global debate over vulnerability assessment and adaptation which were addressed through 25 presentations, followed by panel discussions. The 25 presentations and a **Final Workshop Report** summarizing the presentations and the discussions are available from the BASIC and Winrock India websites. The following section provides a brief summary of the main elements of the India workshop.

- **Adaptation: Emerging Science, Financing and Policy Issues**

This session aimed to bring to the fore the emerging understanding of the science of climate change, impacts, vulnerability and the adaptation concerns. As much the VA debates are driven by the United Nations Framework Convention on Climate Change and its Kyoto Protocol, the workshop will give an overview of the meaning of adaptation in the context of this Convention, including the adequacy and predictability of funds. This session also looked into the financing opportunities for adaptation projects through the various mechanisms available such as the GEF Small Grants Facility and through bilateral funding.

- **Vulnerability & Adaptation: Methods, Technologies & Tools**

Methods and tools to assess impacts of, and vulnerability and adaptation to, climate change are the key to enhance our knowledge on adaptation needs and requirements to address the adverse impacts of climate change. This session also reviewed some of the best practices; methods, technologies and financial tools developed globally and in India to evaluate the adaptation needs and address the climate related disasters to improve the resilience of the communities to such disasters. The BASIC India Team presented their emerging work, now summarized in Papers 7-10, and thus able to generate feedback and interest in their final work.

- **Sectoral and Thematic Perspective on Vulnerability & Adaptation**

Water resources, agriculture and ecosystem services are highly dependent on the climate and any threat in the form of climate change to these systems is a threat to the sustainable development of mankind. India being a developing country is resource constrained, and therefore needs to enhance its capacities to address the adverse impacts of climate change in the future and needs to prioritize the impacts, so that careful planning can go into addressing such impacts using the full capacity at its disposal. This session explored adaptation related research and policy challenges of key sectors like agriculture, biodiversity and ecosystem services to understand management needs to adapt to the likely changes in climate in the future.

- **Indian and Global Adaptation Experiences: Practices to Policy**

The challenge facing nations now is to mainstream adaptation concerns into policy making, for facilitating the process of adaptation to climate change at local and national levels. Managing risks is a multilevel process that requires mechanism for spreading and pooling the impacts of smaller scale disruptions on the system as a whole so that growth and conservation phases do not increase rigidity and ultimately vulnerability. The Indian and global adaptation experiences

presented in this session identified the practices for managing and sharing some of the adverse impacts of current climate variability. Further the session also focused on how such learning experiences can lead to building of future climate policy.

- **Panel Discussion on Mainstreaming Adaptation into Planning**

The workshop concluded with a panel discussion among policy makers, researchers and stakeholders which consolidated the key points raised in the course of the workshop with the emphasis on how to improve understandings of current impacts faced by some of the sectors which are highly vulnerable due to climate variability, the approaches being taken to combat such impacts and the steps taken to address such impacts at the policy levels and how the current adaptation project experiences can be integrated into policy planning in the future.

2.3 South Africa Team, Task 3, Policy coherence & institutional coordination

2.3.1 Core Objectives

The causes and impacts of climate change require actions at multiple levels of governance. This poses formidable policy coherence and institutional coordination challenges at the national and international level. Additionally, climate protection policies must command widespread support if they are to be implemented effectively over the long-term and this generates a need for extensive stakeholder engagement. Thus achieving policy coherence and mobilization of actors across all policy areas relevant to climate change is difficult. A critical part of enhancing the capacity of developing countries for future action is to pay more attention to legal, procedural and institutional issues relevant to policy coherence and institutional coordination.

Task 3 of the BASIC Project addressed the challenge of policy coherence and institutional coordination with regards to climate change policy and implementation responses. The task was made up of three sub-components, all from a South African perspective, focusing on three aspects:

- The institutional responses to climate change in South Africa, in particular those raised by the establishment of its National Committee on Climate Change;
- Lessons from the implementation of the Clean Development Mechanism (CDM) in South Africa; and
- Legal and institutional issues related to the UNFCCC and the Kyoto Protocol and their implementation via domestic legislation in developing countries.

These issues were examined in three papers and summarized in a fourth overview paper which synthesizes the insights emerging from the South Africa's Team's work. In addition to working on the papers, the South Africa team gave regular briefings to the BASIC Team on the progress on the CDM internationally and experiences from other countries and contributed to Task 4 on how the lessons from and position of South Africa could be better taken into account in future international climate policy. A significant component of

Task 3 also involved supporting South African stakeholder processes. This was achieved by the BASIC Team through activities centred around the October 2005 BASIC workshops in South Africa described below.

South Africa Team

Department of Environmental Affairs and Tourism (DEAT)	Shirley Moroka
Palmer Development Group	Mike Goldblatt, Julie Middleton, Gillian Sykes
Imbewu Enviro-Legal Consultants	Catherine Warburton, Andrew Gilder, Sibusiso Shabalala
City of Cape Town	Shirene Rosenberg
Energy Research Centre, University of Cape Town	Harald Winkler
SouthSouthNorth, South Africa	Steve Thorne, Stefan Raubenheimer
BASIC Support Team: Paul Curnow, IDS/Baker and McKenzie, Farhana Yamin, IDS, Erik Haites, Margaree Consultants	

2.3.2 South Africa BASIC Papers

Paper 11 (A Prompt Start for the CDM? Lessons from Early Experiences from South Africa, Shirene Rosenberg, The City of Cape Town, South Africa) provides lessons from the implementation of the CDM in South Africa. The CDM is a crucial part of the Kyoto architecture for developing countries. Its core mission is to ensure that GHG reduction opportunities go hand in hand in supporting developing countries achieve their sustainable development priorities. Based on early CDM experiences from South Africa, paper 11 presents insights and made recommendations addressing developing countries concerns about the limited contribution the CDM is currently able to make to sustainable development as well as contributing to broader discussions about the long term role of the CDM in post 2012 period.

The main conclusions of the paper are that the CDM can make a larger contribution to sustainable development for developing countries. This will however require a review of the CDM that goes beyond mere procedural tweaking of the modalities of the CDM project cycle. New mechanisms are needed to support the emergence of local designated operational entities (DOEs) as a way of reducing transaction costs and improving long term viability of the CDM in generating host country benefits in countries like South Africa. Developing countries also need to look more closely at the how well their newly established Designated National Authority (DNA) structures are functioning and whether domestic procedures and criteria on, for example, what constitutes sustainable development, can be improved.

Another critical aspect highlighted by Paper 11 relates to building capacity and the provision of technical and financial support to developing countries. The paper argues this should be targeted not only at the private sector, as is currently the case, but also at the public sector which is playing a significant and positive role in taking forward CDM opportunities. Supporting public sector bodies, like the City of Cape Town, engage in the CDM and examining the lessons learnt by other local authorities experience of CDM activities will

help engage a critical body of actors in the CDM. The paper also argues that this might help to connect carbon markets with the day to day business of delivering core public services that are vital to the achievement of sustainable development such as more efficient housing, waste and other local amenities which generally fall within the remit of local authorities.

The focus of the **Paper 12 (Options for Greenhouse Gas Mitigation Mechanisms in South African Legislation**, Catherine Warburton, Andrew Gilder, Sibusiso Shabalala and Melissa Basterfield, IMBEWU Enviro-Legal Specialists (Pty) Ltd, South Africa) is on legal measures to implement climate change policy – specifically mitigation measures which might comprise, for example, voluntary agreements, carbon trading schemes and labeling and monitoring of energy goods and services. The paper points out many legal mechanisms are already in place in South Africa that can be used to implement climate change mitigation measures. The underlying premise of the paper is that that, in the absence of current legislative mitigation obligations, it would be worthwhile to consider whether South Africa's current environmental statutes might provide a useful legal basis for the implementation of greenhouse gas emissions mitigation measures. Existing legislation can be utilized as is or appropriately amended. It is thus important pending the promulgation of a comprehensive legislative programme to reduce such emissions – a process which could take up considerable time and effort. Two key statutes, the National Environmental Management Act (No. 107 of 1998) and the National Environmental Management: Air Quality Act (No. 39 of 2004), are discussed as the legislative space for the development of greenhouse gas mitigation measures. The paper concludes by providing a number of concrete recommendations for further actions. A “companion resource paper”, entitled, ***Greenhouse gas mitigation mechanisms: Relevant South African Policy and Strategy and Lessons from International Jurisdictions*** is also available from the BASIC website and provides background materials on the mitigation measures implemented from other jurisdictions around the world.

South Africa provides a useful case study of approaches towards coordination of climate policy development and implementation. **Paper 13 (Climate Policy Coherence and Institutional Coordination: Clarifying Institutional Responsibilities**, Mike Goldblatt and Julie Middleton, Palmer Development Group, South Africa) examines experience with the establishment and operation of South Africa's National Climate Change Coordinating Committee (NCCC). The NCCC provides a forum for wide ranging stakeholder input into the policy development process and also acts as a means to disseminate information to a wide range of actors. Along with the DNA, the NCCC is one of the few formal means of allowing actors in the network to engage in a structured and constructive manner. These stakeholders include other spheres of government as well as private sector and NGO organizations. The NCCC is situated within the context of increasingly strong inter-departmental climate policy coordinating structures at the national level, including a high level Inter-Ministerial Committee. The combination of the formal state structures, established government policy, and informal stakeholder interactions around climate change have created a policy network around climate change in which much of the information flows and debates around climate change policy occurs. An understanding of this network is important in understanding what climate policy responses are likely to emerge successfully in the country and in understanding the various power relations that will determine future action in the country.

The paper provides a schematic overview of the key role-players and the initial policy network “map” highlights some important issues. For example, it is clear from the map that government, and national government in particular, sits at the heart of the network. Most other actors interact with, or via government. This demonstrates the crucial role of adequate capacity at certain points within government and also demonstrates those points where policy interventions or support are most likely to be useful. At the same time there is an emerging “sub network” of local government in which municipalities are sharing information and expertise between themselves within going through national government as an intermediary. The network also shows the importance of a small number of well resourced and influential academic or research organizations. These organizations have important roles to play in keeping the network informed, in ensuring that the network is fed with new policy insights and options, and in providing “impartial” support. The paper also examines who is missing from the network: two key coordinating structures of government, the Presidency and the National Treasury. In addition to occupying positions of cross-sector coordination, these are also, arguably the two most influential components of national government. Their participation will be essential to mainstreaming climate change and from moving the network from being a policy network to one that is engaged in implementation.

Paper 14 (Climate Policy Coherence and Institutional Coordination for South Africa: an Overview of Challenges and Responses, Mike Goldblatt, Palmer Development Group, South Africa) provides an overview of the three South Africa papers prepared under Task 3 of the BASIC Project. The papers all broadly consider the issue of policy coherence and institutional mechanisms to achieve this coherence as well as the consequent implementation actions required. However, the papers approach these issues from quite different perspectives. Paper 14 draws these together and helps map out how each of these papers can help other countries learn from South Africa’s institutional arrangements to better coordinate climate change policy and integrate it into their own country development strategies. It is hoped that the four South Africa papers may further debate or research within South Africa and the other BASIC countries and raise some considerations for improved institutional and legal arrangements for addressing climate change and the CDM

2.3.3 BASIC South Africa Meeting, October 2005

The BASIC South Africa meeting was incorporated into the National Climate Change Conference held in October 2005 which was held to follow up the scientific and stakeholder work that had been undertaken as part of the submission of South Africa’s national communication to the UNFCCC and the National Climate Change Response Strategy, which was approved by Cabinet in September 2004. The Conference was organized under the auspices of an Inter-Ministerial Committee of Cabinet, chaired by the Minister of Environmental Affairs and Tourism, and including as the core Ministers the Ministers of Water Affairs & Forestry, Science & Technology, Minerals & Energy, and Agriculture & Land Affairs. Broad stakeholder involvement in the planning of the Conference was ensured through the engagement of the

National Climate Change Committee (NCCC), a multi-stakeholder forum set up to guide the Department of Environmental Affairs and Tourism (DEAT) on matters relating to climate change. Around 300-700 attended the National Conference which over the course of its three days was addressed by Deputy President and by nine ministers.

The BASIC Team supported DEAT and the organizing committee of the Conference by providing almost half of international scientists and climate experts and by running a series of “side-events” at the Conference itself. Overall around 20 presentations were made by the BASIC Team – some were delivered twice to ensure no-one missed out as the National Conference itself ran in parallel sessions. Details of all the presentations are set out in the BASIC website. Highlights included presentations by the Brazil Team on innovative low carbon biofuel technologies being developed in Brazil, mitigation and adaptation challenges faced by China, India's approach to climate mitigation, developments in the USA as well briefings on key substantive and procedural issues at the landmark December 2005 Montreal UNFCCC meetings. As the South Africa Conference took place shortly before Montreal, the BASIC meeting in South Africa provided a range of formal and informal opportunities for the senior negotiators to discuss substance and strategy for the Montreal meeting and thus helped increased negotiating capacity among developing countries as envisaged under Task 4. The Conference received daily coverage on national television and in the press. Two BASIC Team members appeared on breakfast TV and BASIC responded to a number of other media inquiries as well as contributing to the Daily Journal of the Conference (available from DEAT).

2.4 Brazil Team, Task 4, Future climate policy and negotiations skills

2.4.1 Core Objectives

The complexity of climate negotiations makes it difficult for developing countries to keep track of developments and to participate proactively in defining future international climate policy. The four BASIC developing countries have greater analytical and negotiating capacity than smaller developing countries but their resources are not commensurate with their needs given the size and structure of their economies and potential social and political implications of climate negotiations on development. These constraints and the lack of an institutional “home” for the G77/China to meet and reflect upon long term policy issues limit the ability of developing country negotiators to engage fully in all aspects of climate negotiations. Matters have become more complex in the years as the number of international fora where international climate policy is being considered has increased (G8 plus 5, UN General Assembly, AP6) to facilitate agreement among Kyoto and non Kyoto ratifying countries. Keeping up with the short term demands imposed by these multiple international processes often results in neglect of domestic processes and lack of time for longer term analytical work both of which are needed to ensure that national interests and circumstances can feed into and off all relevant international arenas. Activities and outputs under Task 4 were designed to support BASIC and other developing countries by:

- making it easier for the developing countries to track particular UNFCCC/KP agenda items and to make the transmission of skills and knowledge possessed by one generation of negotiators to the next easier;
- providing analysis and support, as needed by each country, on the quantification of various mitigation proposals, including through training on quantitative tools;
- provision of oral and written briefings on international legal and procedural aspects of climate negotiations relating to a new agreement under the UNFCCC/KP; and
- development of a comprehensive package of proposals for future international climate change policy which take into account the interests and circumstances of developing countries regarding mitigation, adaptation, financial resources and technology.

Brazil Team

Institute for Advanced Studies, University of São Paulo	Gylvan Meira Filho
Instituto de Eletrotécnica e Energia, University of São Paulo	José Goldemberg, Former Secretary of Environment of São Paulo State
Faculty of Economics, University of São Paulo	Jacques Marcovitch
BASIC Support Team: Erik Haites, Margaree Consultants, Farhana Yamin, Institute of Development Studies and Niklas Höhne and Sara Moltman, Ecofys. Additional comments and guidance for Task 4 were provided by all the BASIC Team and a wide range of experts by email and also by participants at the BASIC Sao Paulo workshop in Brazil in August 2007.	

2.4.2 Brazil BASIC Papers

Work on the first three of these (tracking particular UNFCCC/KP agenda items, quantification of proposals and on international legal and procedural issues relevant to future international climate policy) comprised preparations of papers and shorter presentations and oral briefings provided to the BASIC Team throughout the course of the BASIC Project, especially in the run up to two major COP meetings that fell into the BASIC Project cycle, Montreal in 2005 and Nairobi in 2006. For example, for the duration of the project Ecofys provided presentations updating the BASIC Team on the process and new ideas in literature on future commitments to help the Team keep abreast of developments and save time studying proposals in detail. Work on the fourth element, the development of future climate policy in the form of the Sao Paulo Proposal, commenced only in year 2 of the Project to ensure that the Task 4 Team would benefit from a clearer understanding of the interests, challenges and policy preferences of BASIC countries.

BASIC Paper 15 (History and Status of the International Climate Change Negotiations on a Future Climate Agreement, Niklas Höhne Ecofys, Gylvan Meira Filho, Institute of Advanced Studies, Sara Moltmann, Ecofys, Jacques Marcovitch, Institute of Advanced Studies, Farhana Yamin, Institute of Development Studies, UK) provides an overview of the history of the negotiation process under the climate

change regime and the resulting commitments under the UNFCCC and the Kyoto Protocol. The rationale for why certain issues get negotiated in particular ways tends at times to get lost because of limited institutional memory. In the case of developing countries this is exaggerated by the annual rotational nature of the G-77. The purpose of Paper 15 was to ensure new comers to the climate change could readily get up to speed with the rather complicated procedural way in which the climate regime has discussed matters relating to future climate policy in the last fifteen years. The paper summarizes current activities relating to the negotiations of an agreement that would set out commitments additional to those contained out in the UNFCCC/Kyoto. As climate change now features on the agenda of several international initiatives, the paper discusses whether such an agreement should be agreed within or outside the auspices of the UNFCCC. Detailed information on negotiation positions of important countries or groups on the timing, scope and nature of such negotiations is provided so newcomers can readily appreciate the positions of their negotiating partners and how these have evolved over time. Finally, the paper sets out how the past positions of BASIC countries might inform discussions on the substantive elements of a future climate change regime of the kind set out in accompanying Paper 17 (The Sao Paulo Proposal for Future International Climate Agreement). The paper was prepared for the Brazil August 2007 workshop. An updated version was made available at the COP-12 Nairobi BASIC side-event and to participants at the March 2007 ECP/CEPS High Level Colloquium. An edited version of the history paper updated to September 2007 will be included in the book on critical issues facing the climate regime currently which is being compiled by CEPS.

Paper 16 (Next Steps for Developing Countries: Issues and Options for a Montreal Mandate: Farhana Yamin, Institute of Development Studies, UK, 2006) is an expanded version of presentations made to the BASIC Team and to the October 2005 South Africa National Climate Change Conference. The paper describes the immense legal and institutional challenges facing the first meeting of the Parties to the Kyoto Protocol held in Montreal, Canada almost eight years after the Protocol's adoption on 11 December 1997. These challenges included how the 156 countries that have ratified Kyoto proceed with complex tasks related to implementation and the evolution of Kyoto beyond 2012, including its relationship to its parent treaty – the UN Framework Convention on Climate Change (FCCC) which has been ratified by 194 countries, including the USA. The paper sets out the biggest legal and institutional challenge facing developing countries in Montreal: whether to sanction “next step” negotiations under the legal auspices of the Kyoto Protocol or under the FCCC or some combination of both. It outlines key factors relevant to the determination of this momentous procedural choice which has shaped subsequent international discourse. The paper was distributed to key delegates prior to the Montreal meeting when discussions on the merits and merging of various “tracks” were being debated. It was more widely disseminated at the meeting in the form of a CCLaw Assist Newsletter available from the BASIC and CCLaw websites.

Paper 17 (The Sao Paulo Proposal for an Agreement on Future International Climate Policy, BASIC Task 4 Team, BASIC Project, Institute of Development Studies, UK, 2007) represents the culmination of analytical work carried out by the BASIC Team on future international

climate policy issues. One aim of Task 4 was to create a coherent and balanced package of proposals with a view to catalyzing discussions, rather than generating a consensus, on a post 2012 framework.

Input to the Task 4 Team on what to include in this package was provided in a variety of forms by other BASIC Project participants. The Brazil Team provided early input and steering on a number of issues such as the crucial issue of developing country targets (see, *The Climate Convention: past and future views from a former negotiator*, José Goldemberg, March 2006 and *A New Kyoto Protocol*, by José Goldemberg and Luiz Gylvan Meira Filho, *O Estado de São Paulo*, 23 April, 2006). The package also drew on, and expanded, previous work done by BASIC team members alongside the BASIC Project such as the work by Harald Winkler and World Resources Institute on sustainable development policies and measures (SD-PAMs) and by Niklas Hoehne and Ecofys on multi-stage approaches.

Based on the history of negotiations and BASIC country positions set out in Paper 15, informal discussions on what the package might look like then took place at BASIC workshops in South Africa, China and India only after work relating to Tasks 1-3 was substantially underway. The work done under BASIC by other country team provided valuable insights for the Task 4 Team. For example, as the China Team's papers on modeling emerged, it became clear that an international agreement focused only on national GHG targets would be difficult to set and monitor for China and approaches focused on integration of climate mitigation in other development policies had a better chance of being rapidly implemented. The India's team work on vulnerability and adaptation underscored the view that adaptation would need to be an important and significant part of an international package if agreement were to be widely accepted. The India Team papers suggested specific areas for enhanced international cooperation such as increased and more predictable provision of finances, better national and international institutional arrangements linking development, climate adaptation and disaster risk management and the development of tools and methodologies to ensure resources are wisely deployed to help the most vulnerable communities adapt to climate change. The South Africa Team's work on improvements to the CDM and on provision of incentives for a wider range of actors to engage in climate friendly mitigation and adaptation also find expression in the proposal created by the Task 4 Team.

The resulting proposal, called the Sao Paulo Proposal as it was first discussed at the BASIC workshop in Sao Paulo in August 2006, is set out in Paper 17. The Proposal is intended to generate discussion and is not intended to be a consensus document. It outlines a stable, long-term, universal regime to address climate change that reflects the principles of equity and common but differentiated responsibilities and respective capabilities. Such a regime is required to encourage the technological change and structural shifts necessary to stabilize greenhouse gas concentrations in the atmosphere. A variety of binding targets for richer countries and a range of actions to support sustainable development and adaptation by developing countries are set out with flexibility given to all to accommodate different starting points and changes in circumstances. The need for additional international steps is assessed periodically in relation to medium- and long-term climate change related goals against

which overall progress towards the UNFCCC's ultimate objective can be assessed.

The Sao Paulo Proposal remains one of the most comprehensive and technically advanced "packages" put forward by any major think tank that aims to balance incentives for richer countries and developing ones to come to an agreement. The Proposal has generated discussions at many major conferences, workshops and side events dealing with future actions initiatives by a wide range of senior delegates and policy-makers. Apart from the Brazil meetings, discussed below, presentations of the Proposal have been made by the Task 4 Team to the following recent meetings:

- BASIC Side Event, UNFCCC Subsidiary Body Meetings, May 2007, ENBOTS, Thursday, 17 May 2007, Issue Number 8
- Presentation to Conference: Tackling climate change – An appraisal of the Kyoto Protocol and options for the future, T.M.C. Asser Institute, The Hague, Netherlands, 30-31 March 2007
- Presentation of the BASIC Proposal to the ECP/CEPS High Level Colloquium 22-23 March 2007, Climate Change: Key Issues for the Crucial Years Ahead
- Presentation to Centre for Clean Air Policy (CCAP) Future Action Dialogue, 7-9 January 2007, Rio de Janeiro, Brazil
- Conference organized by The World Bank in collaboration with the Ministry of Environment and Forests, the European Union, UK DfID, GTZ and SDC, International Conference on Adaptation to Climate Variability and Climate Change, December 7-8, 2006, New Delhi, India
- BASIC Side Event, UNFCCC COP 12/MOP 2, Nairobi, Kenya, ENBOTS, Volume 12, Issue No. 6, Monday, 13 November 2006.
- Presentation of Sao Paulo Proposal, University of Ottawa, November 2006
- BASIC Briefing on Sao Paulo Proposal to European Commission, 26 September 2006

Requests for the further presentations continue to be received by the Task 4 Team.

The Sao Paulo Proposal has been made available on the web site "Future International Action on Climate Change Network" www.fiacc.net and the executive summary has been translated into Portuguese. It has also been featured in a book: "The Sao Paulo Proposal for an Agreement on Future International Climate Policy", W.Th. Douma, L. Massai and M. Montini, eds. The Kyoto Protocol and Beyond: Legal and Policy Challenges of Climate Change, T.M.C. Asser Press, The Hague, The Netherlands, pp. 201-222 (distributed by Cambridge University Press).

2.4.3 BASIC Brazil Meeting, August 2006

The Brazil meeting of the BASIC Project was held from 6-9th August, 2006, hosted by the Institute for Advanced Studies of the University of Sao Paulo in association with the Secretary of Environment for the State of Sao Paulo. The workshop brought together the BASIC Project Team with selected

experts and policy-makers to discuss new proposals to tackle the threat of climate change building on the UN Framework Convention on Climate Change (UNFCCC) and Kyoto. Arranged over three days, the meeting was intended to help developing country negotiators participate effectively in negotiations concerning the second commitment period under the Kyoto Protocol as well as the UNFCCC Dialogue on long term cooperative action established under the UNFCCC at the Montreal COP-11/MOP-1.

The three days of meetings comprised two components: a “closed” two day by invitation only workshop and a one day conference held on the 9th August at the University of Sao Paulo attended by one hundred participants to publicly launch the Sao Paulo Proposal and to discuss the challenges facing BASIC countries on climate change.

The objective of the by invitation only workshop was to review and refine the core elements of a balanced and coherent regime proposed by the BASIC Project Task Team 4 that had been circulated in advance of the meeting to the workshop participants. A second objective was to assist developing countries prepare for negotiations taking place under various Protocol and Convention “tracks” on future climate policy, in particular, to share expectations and discuss options for the forthcoming Nairobi COP meeting. Finally, the purpose of the one day public conference was intended to strengthen the network of Brazilian actors involved in international climate policy and to link them with counterparts from BASIC and other countries. Written outputs from the workshop included the Sao Paulo Proposal for an agreement on future international climate policy set out in the form of elements as well as in more detailed textual form together with explanatory notes that aim to catalyze positive thinking about the challenges facing the climate regime (revised and now issued as BASIC Paper 17).

The closed meeting brought almost fifty participants from the BASIC Team together with a much wider range of policy makers from developed and developing countries than other BASIC meetings. These included representatives from Kenya, the host country of the forthcoming COP-12, representatives from the UNFCCC secretariat and senior officials involved in climate negotiations as well as Brazilian academics representing the scientific community and stakeholders from the environment and business community. In keeping with the informal nature of the workshop, participants were invited to give informal reactions to a first draft of the Sao Paulo proposal package. The BASIC Task 4 Team also shared with participants’ reactions from senior officials from a wide range of countries that had not been able to come to the workshop.

The one day conference, held and webcast at the University of Sao Paulo, helped to disseminate the Sao Paulo Proposal to a broad range of domestic and international stakeholders including members of the scientific, business and policy-making communities who were in turn able to make presentations from a Brazilian perspective. The meeting was accompanied by a press conference which resulted in one of Brazil’s leading newspapers reporting the outcomes of the meeting. The conference also provided an opportunity for the BASIC Team and senior officials from the China, South Africa, India, European Commission, US, the Alliance of Small Island States and the UK to make presentations on how their countries are tackling climate change and to be updated by

officials from Kenya on the host countries priorities for the Nairobi conference. Their presentations are available from the BASIC website.

2.5 Task 5, Creation of developing country expert group

2.5.1 Core Objectives

Whilst their individual circumstances and interests vary hugely, developing countries generally continue to negotiate as a single political bloc with joint problem-solving being a well established, and preferred, norm for dealing with their economic, social and cultural diversity. But unlike developed countries who have the OECD Annex I Experts Group, developing countries have no institutional base to examine policy options collectively and few opportunities to meet to discuss climate policy outside of formal negotiations. The resulting limited degree of analytical support hampers the negotiation and implementation of climate policy at a time when developing countries are being asked to engage more deeply and rapidly into global climate change efforts and international climate policy processes are increasing in number and complexity. Against this background, Task 5 focused on the exploration of options that could result in the creation of developing country expert group or other institutional mechanism(s) to bring together developing country representatives and climate policy expertise on a long term basis.

2.5.2 Task 5 Meetings and Paper

A scoping paper was prepared by the Task 5 team for discussion at the first BASIC meeting in Paris in 2005 (**Paper 18, Creation of a developing country expert group or other institutional mechanism(s) to bring together developing country representatives and climate policy expertise on a long term basis**, Farhana Yamin, Jan Corfee-Morlot, Paul Curnow, Institute of Development Studies, UK, 2007). The paper sets out the scope, institutional, funding and political challenges for a developing country expert group (DGXG). It compares formal options with other more informal means of joint research, policy analysis and capacity building such as internet based discussions and occasional face to face meetings before or on the margins of climate negotiations of the kind that have tried out in the BASIC Project itself.

The scoping paper provides an initial overview of issues relevant to considering the creation of a developing country expert group, including: current sources of expertise and policy spaces available to developing country delegations; gaps in provision of advice and policy fora; and the kinds of activities that might facilitate participation of developing countries in the design and implementation of future climate policy; and likely institutional and financial barriers/considerations of such possible mechanisms. The rationale and institutional features of a DGXG were considered by the BASIC Team at their Paris meeting in 2005 and at the Beijing BASIC meeting in February 2006. Informal discussions also took place at the final in country workshop in Brazil in August 2006 and the final project meeting in Brussels in March 2007. The outcomes of these are summarized in the revised scoping Paper 18.

Based on brainstorming and experience of the BASIC Project itself, the BASIC Team concluded there was a need for a mechanism to allow developing countries to share policy analysis that went beyond what was being provided through other initiatives. Indeed such a mechanism might bring some degree of coherence and synthesis to the array of policy analysis and capacity development relating to the design, implementation and evolution of future climate policy.

It was agreed that a key focus of any DCXG should be on developing the capacity for dialogue, networking and shared research/policy analysis to assist (i) developing country negotiators assess technical and policy issues relevant to the negotiators in advance of COP/MOP meetings and future negotiations and (ii) provide developing country regulators and stakeholders involved in implementation of climate policy opportunities to meet, share and learn implementation experiences. This would require a two-way dialogue between developing country negotiators and relevant in-country and other experts, including from developed countries, to provide opportunities for developing country policy makers to interact with expert communities that are examining these technical and policy issues. The two-way dialogue needs to be fostered at three levels:

- at the **in-country level**, with each developing country utilizing in-country experts and other (Annex I) experts;
- **between developing country policymakers** with access to relevant experts as needed so that they can share analysis and consider common approaches. As noted, the opportunity for developing country negotiators to meet and share is limited primarily to G77 meetings at COP/MOP meetings, and is the main capacity building area which developing country negotiators have minimal resources for. This is the "policy space" that any DCXG would seek to create; and
- **between developing country and developed country policymakers** to share ideas and exchange views informally on relevant negotiating issues between, and in the lead up to, sessions – which occurs already in a number of fora, e.g. the seminars with developing country negotiators in conjunction with AIXG meetings.

Emerging spaces such as the OECD Annex I Expert Group (AIXG) seminars with developing countries and the Global Forum on Sustainable Development were beginning to meet some of these objectives. Additionally, informal dialogues aimed at senior negotiators (such as those run by Centre for Clean Air Policy and Pew Centre) filled some important gaps but their analytical component did not always cover the full range of issues raised by government and non-governmental stakeholders from developing countries. In addition, their ad hoc nature and international negotiations focus meant implementation issues arising for particular countries could not always be examined in-depth as these required a wide range of in-country expertise than could be accommodated in such meetings. Whilst the rationale for a long term DCXG remained it was recognized that major financial and institutional challenges would have to be overcome to establish a DCXG as detailed in the scoping paper.

3 Dissemination of BASIC Outputs

The BASIC Project has resulted in eighteen papers targeted at different segments of the climate research and policy community. Active user engagement has been integral to the design of the BASIC Project. Accordingly some of the papers have been disseminated in draft or advanced form to selected users before the close of the Project. For example the Paper 11 on the CDM was distributed at the Montreal COP-11 through a side event. Earlier versions of the Sao Paulo Proposal were discussed first hand with policy makers in Brazil and then at the Nairobi COP-12. Copies of the Proposal and the history paper are now in print in book form. The China Team's Paper 5 on technology transfer and the CDM has already been published in a peer reviewed journal. We expect a number of other papers to follow suit.

The dissemination strategy will aim to ensure that the right papers get into the hands of the right sections of this community. IDS is a leading and trusted "knowledge intermediary" used by development professionals, policy advisors, NGO activists, researchers, and journalists. It will aim to provide a range of services to deliver the knowledge contained in the BASIC papers to those who need it by making copies of all of the papers available on the IDS and on the BASIC websites. Copies of the papers in CD-ROM format will be available free of charge to interested users present at COP-13 in Bali in December 2007. Announcements of their availability will be made via list serves such as CLIMATE-L.

4 Follow up initiatives to BASIC

This section sets out a number of linked initiatives that been set up or inspired by the BASIC Project as follow up. These take into account two key lessons learnt from the operation of BASIC: first the need to separate the *in-country analysis and dialogue* opportunities among domestic policymakers and stakeholders more clearly from opportunities where developing country policymakers meet with each other and/or with developed country counterparts and second, to provide a lengthier period of collaboration than BASIC. This would counter some of the logistical constraints that had arisen as a result of the intensity of BASIC workshops (6 over 2 years) as well as ensuring future workshops were targeted more clearly at a particular goals in ways that did not overburden developing country experts given the high demands made of them already as a result of other domestic and international processes.

4.1.1 SNAPP 2012

SNAPP 2012 stands for Supporting National Assessments of Post-2012 Proposals for Climate Protection and Sustainable Development (SNAPP 2012) in Brazil, China, India, and South Africa. Led by WWF, the SNAPP 2012 project, funded by the European Commission, builds on the BASIC Project by supporting developing countries assessment of the merits and shortcomings of various proposals for a post-2012 framework against national priorities and sustainable development goals. The main focus of the project is its national level workshops in the four countries. These will enable in-depth national assessments and discussion of post-2012 proposals. Building on the BASIC Project, each country will host a national workshop on post 2012 issues, focusing primarily on those issues and proposals of most relevance for that country. The idea is to create a safe space at the domestic level for key stakeholders and analysts from each country to engage in "blue sky thinking" on the implications of various post 2012

proposals and the merits/shortcomings of various policies and packages in terms of supporting national developments goals. Each workshop will be based on specially commissioned papers written by experts from the relevant country. An International Dialogue will take place to bring together the outcomes and discussions of national level workshops and proposals into a comprehensive proposal capable of fulfilling the ultimate objective of the Convention in a way that appeals to developing countries.

4.1.2 ALIGN Centre

The ALIGN Centre is a new proposal recently submitted by the Institute of Development Studies to the UK's Economic and Social Research Council (ESRC) to establish a five year centre on climate change and development called **AL**igning Implementation with **GL**obal **N**egotiations (ALIGN Centre). The longer timeframe and greater focus on research are a complementary follow up to BASIC and to the SNAPP 2012 project. The ALIGN proposal brings together researchers from leading UK social scientists based at IDS and the universities of Cambridge, East Anglia and Sussex from economics, law, development studies, sociology, geography, and science and technology studies, together with leading and well connected climate change experts from around the world, including many of the partners from BASIC. The mission of the ALIGN Centre is to provide evidence and analysis necessary to underpin efforts to align implementation and negotiations globally, in ways that are mutually reinforcing, through an effective system of climate governance that secures developmental goals whilst contributing to equitable climate protection and engaging citizens and non-state actors worldwide. If successful, the proposed Centre would commence research in October 2008.

4.1.3 Other linked work

Apart from SNAPP 2012 and ALIGN, the network established by BASIC has led to work beyond the BASIC being undertaken by some of the partners with further collaborations being planned by others. For example, a joint collaborative project conceptualized and funded by UK DEFRA and the Republic of South Africa and undertaken by IDS, Ecofys, Margaree Consultants and University of Cape Town, has led to further work being done in 2007 to devise a series of "packages" that can be discussed at the senior official level. This work follows up discussions and suggestions made about the Sao Paulo Proposal and its "fit" with other kinds of proposals. Funded by DFID, additional vulnerability and adaptation orientated work on China has been undertaken by IDS in collaboration with members of the China BASIC Team. In other cases, for example, the World Resources Institute, BASIC has helped consolidated international partnerships and in-depth analytic focus of work on BASIC countries.

Whether actual or proposed, these initiatives illustrate that the network established by BASIC has taken root and will generate gains beyond the lifetime of the BASIC Project.

5 Contribution to Capacity Strengthening

BASIC was conceived as capacity development initiative. There was a tension between the relatively short lifetime of the project and its methodological underpinning which were rooted in seeing capacity development as a longer term *process* that is set

within a broader developmental context that stresses the effectiveness of participatory approaches and mutual, on-going learning among project participants. No country, organization or individual has the “solutions.” The methodology behind BASIC stressed mutual learning by all participants. This was seen as vital to ensuring the sustainability of efforts to enhance the ability of developing countries to perform core functions, solve problems, define and achieve their own climate objectives, and to understand and deal with their climate and development needs in a broad and sustainable manner.

Although efforts were made to incorporate stakeholders in some activities and to undertake media work, most BASIC activities targeted governments and research/developmental bodies because of their fundamental involvement in climate change capacity initiatives related to future actions under the UNFCCC/Kyoto. The participation of governments was seen as central because climate policy touches on sensitive economic issues, which necessitate coordinating and balancing competing interests of different sectors and social groups. But government actions must be grounded in solid research if sensible policies are to be pursued. Therefore BASIC aimed to enhance the institutional capacity of the various research/development agencies and individuals involved in these negotiations, particularly in carrying out the analytical work that informs the formulation of national positions, must also be supported and enhanced. By bringing key developing country negotiators together, targeting support materials and providing resources for another tier of research assistance at a less senior level, BASIC tried to relieve bottlenecks among existing (typically senior officials) to ensure they make best use of their current analytical and negotiating skills to advance developing countries’ interests in climate negotiations.

Measuring improved ability of individuals/governments in quantified terms was thought to be neither technically feasible nor politically appropriate for a capacity development project such as BASIC. Project team members were not simply transferring skills from one to the other but engaged in mutual learning and joint problem solving over a relatively short period. Reducing this *process* to measurable elements was seen as inherently problematic. Nevertheless based on the output, we believe the BASIC Project as a whole has lead to:

- increased levels of dialogue among project team members;
- increased numbers of research collaborations within and outside the project in the four developing countries;
- high level of interest among policy makers about the results of BASIC;
- increased respect and understanding of national circumstances and national positions of the BASIC countries; and
- greater levels of awareness and knowledge of future climate policy actions and their domestic implications underpinned by acquisition of specific skills, e.g, understanding, modifying and running economic models among a much wider group.

All these suggest a positive impact of the BASIC Project on capacity development related to the implementation and development of climate policy in BASIC countries and in the international negotiations.

6 BASIC Publications & other materials

This section lists the publications arising from the BASIC Project from 2006-2007. A large number of presentations were generated by the Project and are not listed here but can be found on the BASIC website.

China Team papers: Energy, mitigation and sustainable development: linking modeling to policy

- Paper 1 Energy Models in China, a Literature Survey, Fei Teng, Alun Gu and Maosheng Duan, Tsinghua University, China, 2007
- Paper 2 A Preliminary Analysis of Modelling Results Relevant to China from The International Emission Scenarios Database, Ying Chen, Jiahua Pan and Guiyang Zhuang, Chinese Academy of Social Sciences, 2007
Lu Xuedu, Ministry of Science and Technology, China
- Paper 3 Energy Requirements for Satisfying Basic Needs, China as a case for Illustration, Jiahua Pan and Xianli Zhu, Chinese Academy of Social Sciences, China, 2007
- Paper 4 The Role of Policies and Measures for Climate Mitigation in China, Rob Bradley and Hilary McMahon, World Resources Institute, USA, 2007
- Paper 5 Technology Transfer by CDM Projects, Erik Haites, Margaree Consultants Inc., Canada, Maosheng Duan, Tsinghua University, China, Stephen Seres, Climate Change Analyst/Economist, Canada, 2006
- Paper 6 Climate Change Impacts, Vulnerability and Adaptation in China, Li Yue, Xiong Wei and Wu Yanjuan, Institute of Environment and Sustainable Development for Agriculture, Chinese Academy of Agricultural Sciences, 2007

India Team papers: Adaptation and vulnerability, tools and approaches

- Paper 7 Lessons Learnt for Vulnerability and Adaptation Assessment from India's First National Communication, Sumana Bhattacharya, Winrock International, India, 2007
- Paper 8 Handbook of Current and Next Generation Vulnerability and Adaptation Assessment Tools, Amit Garg, Ashish Rana and P.R. Shukla, Energy Environment Analytics Limited India, Manmohan Kapshe, Maulana Azad National Institute of Technology, India, with contributions from K Narayanan, D. Parthasarathy and Unmesh Patnaik, Indian Institute of Technology, Bombay, India 2007
- Paper 9 Vulnerability to Drought, Cyclones and Floods in India, Sumana Bhattacharya and Aditi Das, Winrock International, India, 2007
- Paper 10 Disaster Prevention, Preparedness and Management, and Linkages with Climate Change Adaptation: Anand Patwardhan and Meeta Ajit, Technology and Information Forecasting Assessment Council, India, 2007

Final Report of the International Workshop on Vulnerability and Adaptation to Climate Change, From Practice to Policy, 11-12 May 2006, New Delhi, Winrock International, India, 2007

South Africa Team Papers: Policy coherence, institutional coordination and the CDM

- Paper 11 A Prompt Start for the CDM? Lessons from Early Experiences from South Africa, Shirene Rosenberg, The City of Cape Town, South Africa, 2006
- Paper 12 Options for Greenhouse Gas Mitigation Mechanisms in South African Legislation: Catherine Warburton, Andrew Gilder, Sibusiso Shabalala and Melissa Basterfield, IMBEWU Enviro-Legal Specialists (Pty) Ltd, South Africa, 2007

- Paper 13 Climate Policy Coherence and Institutional Coordination: Clarifying Institutional Responsibilities; Mike Goldblatt and Julie Middleton, Palmer Development Group, South Africa, 2007
- Paper14 Climate Policy Coherence and Institutional Coordination for South Africa: an Overview of Challenges and Responses: Mike Goldblatt, Palmer Development Group, South Africa, 2007
- Climate Mitigation and South African Policy & Strategy: Materials and Lessons From International Jurisdictions, Companion Resource Guide to BASIC Paper 12, Options for Greenhouse Gas Mitigation Mechanisms in South African Legislation, Catherine Warburton, Andrew Gilder, Sibusiso Shabalala and Melissa Basterfield, IMBEWU Enviro-Legal Specialists (Pty) Ltd, South Africa, 2007

Brazil Team Papers: Designing international climate change policy and enhancing negotiations skills

- Paper 15 History and Status of the International Climate Change Negotiations on a Future Climate Agreement, Niklas Höhne Ecofys, Gylvan Meira Filho, Institute of Advanced Studies, Sara Moltmann, Ecofys, Jacques Marcovitch, Institute of Advanced Studies, Farhana Yamin, Institute of Development Studies, UK, 2007
- Paper 16 Next Steps for Developing Countries: Issues and Options for a Montreal Mandate: Farhana Yamin, Institute of Development Studies, UK, 2005
- Paper 17 The Sao Paulo Proposal for an Agreement on Future International Climate Policy, BASIC Task 4 Team, BASIC Project, Institute of Development Studies, UK, September 2007