

**REPORTING ON FINANCIAL AND TECHNOLOGY SUPPORT TO  
DEVELOPING COUNTRIES**

**UNDER ARTICLE 16 OF REGULATION (EU) No. 525/2013 OF THE  
EUROPEAN PARLIAMENT AND OF THE COUNCIL  
(MONITORING MECHANISM REGULATION)**

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## ACRONYMS

|               |  |
|---------------|--|
| <b>APA</b>    | Portuguese Environment Agency                          |
| <b>CC</b>     | Climate Change   |
| <b>CPLP</b>   | Community of Portuguese Speaking Countries             |
| <b>CRS</b>    | Creditor Reporting System                              |
| <b>DC</b>     | Development Cooperation                                |
| <b>DAC</b>    | Development Assistance Committee                       |
| <b>EU</b>     | European Union   |
| <b>FPC</b>    | Portuguese Carbon Fund                                 |
| <b>MoU</b>    | Memoranda of Understanding                             |
| <b>MMR</b>    | Monitoring Mechanism Regulation                        |
| <b>MAOTE</b>  | Ministry of Environment, Spatial Planning and Energy   |
| <b>ODA</b>    | Official Development Assistance                        |
| <b>OECD</b>   | Organisation for Economic Co-operation and Development |
| <b>PALOP</b>  | Portuguese Speaking Countries of Africa                |
| <b>PPA</b>    | Programmes, Projects and Actions                       |
| <b>PtC</b>    | Portuguese Cooperation                                 |
| <b>ptODA</b>  | Portuguese Official Development Assistance             |
| <b>UNFCCC</b> | United Nations Framework Convention on Climate Change  |

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## INTRODUCTION

### GENERAL INFORMATION

Following the entry into force of the Monitoring Mechanism Regulation (MMR)<sup>1</sup>, Member States shall submit to the Commission, pursuant to Article 16 of the MMR, all relevant information on their financial and technology support provided to developing countries. These reporting provisions are essentially aligned with the requirements of the biennial report to the United Nations Framework for Convention to Climate Change (UNFCCC) for the year 2016.

From a geographical point of view, and as in previous years, the 2016 Portuguese Official Development Assistance (ptODA) focused mainly in the developing countries which are included in the lusophone universe. Therefore, the Portuguese Speaking African Countries (PALOP) and the Democratic Republic of East Timor were the main targets of the ptODA.

The following report intends to provide an overview of the main features of the ptODA, including bilateral/ geographical/ sectoral priorities and multilateral finance disbursements through institutions and/or programmes.

This report also includes an overview of the projects that still are being financed through the portuguese *fast start* commitment as well as the levels of finance that are being disbursed in this context, given that their implementation will still continue until 2017.

The statistic information included in this document is based on the DAC/OECD, CRS directives.

### COOPERATION – POLICIES, PRIORITIES AND PROGRAMMES IN PORTUGAL

In 2016 Portugal continued to prioritize cooperation activities towards its partner countries, particularly the Portuguese Speaking African Countries and Timor Leste.

Institutionally, development cooperation coordination is a competence of the Camões - Institute for Cooperation and Language, I.P. (in the Ministry of Foreign Affairs). However, given that the main funding for climate change cooperation is provided by the Ministry of Environment, through the Portuguese Environment Agency (APA), as manager of the Portuguese Carbon Fund (FPC), a joint collaboration has been established between the two Ministries since 2010 to coordinate these activities.

The strategic framework and guidelines for development cooperation Programmes, Projects and Actions (PPA) are aligned with the needs and priorities of partner countries. At an institutional level we have established Memoranda of Understanding (MoU) discussed and agreed with partner countries. It should be stressed that it is the partner country that promotes the PPA and presents it to Portuguese cooperation (PtC) for financing. The partner country is responsible for the selection process of the entity that will execute the PPA, and it happens that in some areas the private sector is better placed to execute them. Therefore the PtC has kept an open door to the private sector engagement working hand in hand with public institutions and/or local communities of the beneficiary/ partner country.

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<sup>1</sup> Regulation (EU) No 525/2013 of the European Parliament and of the Council of 21 May 2013 on a mechanism for monitoring and reporting greenhouse gas emissions and for reporting other information at national and Union level relevant to climate change and repealing Decision No 280/2004/EC entered into force on the 8<sup>th</sup> of July 2013 upon its publication in the Official Journal (OJ L 165, 18.6.2013, p. 13)

When initiatives or activities include several lusophone countries, the Portuguese Speaking Countries Community (CPLP) Climate Change Network is usually consulted about its interest and relevance. Most of these countries are Least Developed Countries (LDC) and/or Small Island Developing States (SIDS).

In March 2014, Portugal approved a new Strategic Concept for PtC, which includes a focus on Climate Change (CC) and raises its profile to a higher priority level by considering climate change as a main area along with capacity building, education and health.

## **RIO MARKERS IMPLEMENTATION METHODOLOGY**

As referred in the introduction, Portugal as an Organisation for Economic Co-operation and Development (OECD) country and OECD/ DAC member, tracks development financing according to the Creditor Reporting System (CRS) directives. In this regard, the national CRS data reporting is verified by OECD statistical staff, every year.

The OECD/DAC plays a central role on the production of statistics on aid to developing countries from bilateral and multilateral donor agencies every year. The data are published in the OECD website in both formats: aggregated by partner/donor country and disaggregated by activity. Therefore all information regarding Portuguese provision of financial support to non-Annex I Parties can be found in the OECD website. The data are publicly available in the CRS database.

Since 1998 the Development Assistance Committee (DAC) has been monitoring aid targeting the objectives of the Rio Conventions through the CRS using the so-called "Rio markers". The Rio markers on CC Mitigation was established by the DAC in close collaboration with the Secretariat of the UNFCCC. It tracks aid flows that support the implementation of the Convention.

In December 2009, the DAC approved a new marker to also track development finance in support of CC Adaptation. This complements the climate change mitigation marker, and thus allows the presentation of a more comprehensive picture of climate-change-related aid.

These climate markers allow for an assessment of donors' policy objectives in relation to each aid activity. A Principal Objective (Mitigation or Adaptation) score is given when promoting the objectives of the UNFCCC is stated as the main reason for undertaking the activity. Activities marked "significant" have other objectives, but have been formulated or adjusted to meet also climate concerns.

We would like to highlight the participation of the Secretariat of UNFCCC on the discussion undertaken by the OECD regarding the establishment and application of "Rio markers" definitions and criteria for eligibility and that the Secretariat of the UNFCCC continues to participate on the ongoing work regarding its improvement.

Finally, this report is aligned with the DAC reform. However, this report continues to use the 2013 DAC agreement on concessionality.

## PORTUGUESE OFFICIAL DEVELOPMENT ASSISTANCE

### GENERAL INFORMATION

Portugal's public climate finance (please see table 2) for programs and projects in partner countries is channelled through Official Development Assistance (ODA). In Portugal, ODA for environment has had little expression regarding total values by virtue of the strategic priorities that essentially lie in areas such as Education, Health, Security and Justice.

Portugal institutionalised the Portuguese Carbon Fund (FPC) as a new source of funding for Climate Change development cooperation in 2010. The FPC is a domestic fund established in 2006 with the main objective of supporting actions at national level to meet the Portuguese commitments under Kyoto Protocol.

The majority of Portuguese Cooperation climate related PPA includes capacity building components. Nevertheless the CRS does not allow data tracking by component.

In this context it should be noted that under the PtC the following amounts on climate change cooperation have been disbursed for 2016 by country (as in table 1 below).

**Table 1**  
Total amount in 2016 by country  
(Bilateral Cooperation - only Principal Objective) Commitments

| <b>Bilateral cooperation</b> | <b>1 865 593,00 €</b> |
|------------------------------|-----------------------|
| Cape Vert                    | 413 453,00 €          |
| Cuba                         | 103 980,00 €          |
| Mozambique                   | 394 534,00 €          |
| São Tomé e Príncipe          | 953 626,00 €          |

Source: Camões, I.P./DPC (2017); APA I.P. (2017)

Until December 2016, bilateral financial flows amounted to approximately 1 865 593,00 €. Furthermore, there are still some projects undergoing implementation that will be financed in 2017.

**Table 2<sup>2</sup>**  
Provision of public financial support: contribution through multilateral channels in 2016

| Donor funding   | Total amount      |          |                   |          | Status    | Funding source | Financial instrument                         | Type of support | Sector         |
|---|-------------------|----------|-------------------|----------|-----------|----------------|--|-----------------|----------------|
|   | Core/general      |          | Climate-specific  |          |           |                |  |                 |                |
|   | European euro (€) | USD (\$) | European euro (€) | USD (\$) |           |                |  |                 |                |
| Multilateral climate change funds   | 0,00              | -        | 0,00              | -        | -         | -              | -  | -               | -              |
| 1. Global Environment Facility  | -                 | -        | -                 | -        | -         | -              | -  | -               | -              |
| 2. Least Developed Countries Fund   |                   |          | -                 | -        | -         | -              | -  | -               | -              |
| 3. Special Climate Change Fund  |                   |          | -                 | -        | -         | -              | -  | -               | -              |
| 4. Adaptation Fund  |                   |          | -                 | -        | -         | -              | -  | -               | -              |
| 5. Green Climate Fund   |                   |          | -                 | -        | -         | -              | -  | -               | -              |
| 6. UNFCCC Trust Fund for Supplementary Activities                         |                   |          | -                 | -        | -         | -              | -  | -               | -              |
| 7. Other multilateral climate change funds                                |                   |          | -                 | -        | -         | -              | -  | -               | -              |
| Multilateral financial institutions, including regional development banks | 12 812 381,00     | -        | 0,00              | -        | -         | -              | -  | -               | -              |
| 1. World Bank   | 1 730 000,00      | -        | -                 | -        | Disbursed | ODA            | Grant  | Not Applicable  | Not Applicable |
| 2. International Finance Corporation                                      | -                 | -        | -                 | -        | -         | -              | -  | -               | -              |
| 3. African Development Bank   | 10 050 471,00     | -        | -                 | -        | Disbursed | ODA            | Grant  | Not Applicable  | Not Applicable |
| 4. Asian Development Bank   | 188 094,00        | -        | -                 | -        | Disbursed | ODA            | Grant, capital subscription on deposit basis | Not Applicable  | Not Applicable |
| 5. European Bank for Reconstruction and Development                       | -                 | -        | -                 | -        | -         | -              | -  | -               | -              |
| 6. Inter-American Development Bank  | 843 816,00        | -        | -                 | -        | Disbursed | ODA            | Grant, capital subscription on deposit basis | Not Applicable  | Not Applicable |
| 7. Other  | -                 | -        | -                 | -        | -         | -              | -  | -               | -              |
| Specialized United Nations bodies   | 69 051,00         | -        | 0,00              | -        | -         | -              | -  | -               | -              |
| 1. United Nations Development Programme                                   | 25 000,00         | -        | -                 | -        | Disbursed | ODA            | Grant  | Not Applicable  | Not Applicable |
| 2. United Nations Environment Programme                                   | -                 | -        | -                 | -        | -         | -              | -  | -               | -              |
| 3. Other (UNFCCC core contribution - 61% eligible as ODA)                 | 44 51,00          | -        | -                 | -        | Disbursed | ODA            | Grant  | Not Applicable  | Not Applicable |
| Total contributions through multilateral channels                         | 12 881 432,00     | -        | 0,00              | -        |           |                |  |                 |                |

<sup>2</sup> Table 7[a] of the excel file.



## MITIGATION

The bilateral projects that had Mitigation as a Principal Objective represent 71,49% of the total CC – mitigation related ODA in 2016.

**Table 3**  
Climate change related ODA - Mitigation<sup>3</sup>

| YEAR |   | SIGNIFICANT OBJECTIVE | PRINCIPAL OBJECTIVE | BILATERAL ODA TOTAL |
|------|---|-----------------------|---------------------|---------------------|
| 2016 | € | 281 469 €             | 705 851 €           | 987 320€            |
|      | % | 28,51%                | 71,49%              | 100%                |

Source: Camões, I.P./DPC (2017); APA I.P. (2017)

## ADAPTATION

In general, Portugal has been paying particular attention to Adaptation to CC, specially its mainstreaming into Development Cooperation (DC), thus seeking to follow international guidelines. Thus the data in table 4 represents the application of Rio Marker Adaptation to Portuguese ODA.

**Table 4**  
Climate change related ODA - Adaptation<sup>3</sup> Erro! Marcador não definido.

| YEAR |   | SIGNIFICANT OBJECTIVE | PRINCIPAL OBJECTIVE | BILATERAL ODA TOTAL |
|------|---|-----------------------|---------------------|---------------------|
| 2016 | € | 786 562 €             | 297 242 €           | 1 083 804 €         |
|      | % | 72,57%                | 27,43%              | 100%                |

Source: Camões, I.P./DPC (2017); APA I.P. (2017)

## STRENGTHENING INSTITUTIONAL CAPACITY

When it comes to Development Cooperation, Portugal has paid special attention to capacity building (please see table 5) at institutional level when prioritizing the Portuguese Speaking African Countries and East Timor in the bilateral context or in the CPLP. This is true both for PPA that are exclusively dedicated to capacity building or when capacity building is a component included in the PPA.

The PPA supported by the PtC usually have a strong technical assistance component with a particular focus on the development of national capacities. Portugal tries to pay special attention to the development commitments assumed in Paris, Accra and Busan, especially:

- leadership and control by beneficiaries so they can strategically earmark their resources;
- enhance existing capabilities as a starting point, avoiding the creation of parallel structures and systematically using the national systems for aid implementation;
- technical driven cooperation for the demand of partners.

## TECHNOLOGY TRANSFER AND INSTITUCIONAL CAPACITY

### General Information

Concerning technology transfer (please see table 5) and considering the definition formally accepted in the UNFCCC, particularly item c, paragraphs 1 and 5 of Article 4, in several cases a PPA being implemented

<sup>3</sup> Committed.

by the PtC under the context of ODA involves technology transfer, in terms of practices and appropriate processes to each area of the PPA as well as the necessary knowledge to implement these technologies.

Notwithstanding what was already said, it becomes difficult to specify a case due to the policy of statistical report of the OECD/ DAC that currently does not foresee a marker for the transfer of technology that allows the qualification of the PPA in this perspective or to specifically identify the technology or technologies transferred in each case. However that in the context of the approval process, one of the criteria relates specifically to the issue of technology transfer.

Portuguese cooperative action in the context of tackling CC has increased significantly since the establishment (in 2005) of the Network of CC Offices of CPLP countries, which seeks the development and implementation of actions in the area of training and cooperation with our partner countries, namely PALOP's.

In this context, the Portuguese Ministry of Environment started the promotion of some activities and projects which focused on the transfer of know-how, processes and technology to these countries, in different sectors and aligned with the strategic vision for PtC.

The energy sector, and particularly renewables, have been a recurring commitment of the Portuguese Cooperation and two worthy examples to highlight are the projects conducted in Mozambique in the last years, as well as in Cape Verde and more lately in Cuba, which can be found in table 5.

**Table 5<sup>4</sup>**  
Provision of public financial support: contribution through bilateral, regional and other channels in 2016 (Adaptation and Mitigation)

| Recipient country/ region/project/programme   | Total amount        |     | Status    | Funding source | Financial instrument <sup>9</sup> | Type of support | Sector   | Additional information                    |
|---|---------------------|-----|-----------|----------------|-----------------------------------|-----------------|--|---|
|   | Climate-specific    |     |           |                |                                   |                 |  |   |
|   | European euro (€)   | USD |           |                |                                   |                 |  |   |
| <b>Total contributions through bilateral, regional and other channels</b>   | <b>1 865 593,00</b> | -   | -         | -              | -                                 | -               | -  | -   |
| A Sustainable Development for Chã de Norte (NGO ADPM) – Cabo Verde  | 4 901,00            | -   | Disbursed | ODA            | Grant                             | Adaptation      | Rural development (43040)  | Technology Transfer                       |
| Mainstreaming Adaptation to Climate Change in Development (IAMCD) - Cabo Verde  | 18 974,00           | -   | Disbursed | ODA            | Grant                             | Adaptation      | Biosphere Protection (41020)   | Capacity Building                         |
| Mainstreaming Adaptation to Climate Change in Development (IAMCD) - São Tomé and Príncipe                                   | 18 974,00           | -   | Disbursed | ODA            | Grant                             | Adaptation      | Biosphere Protection (41020)   | Capacity Building                         |
| Mainstreaming Adaptation to Climate Change in Development (IAMCD) - Moçambique  | 18 974,00           | -   | Disbursed | ODA            | Grant                             | Adaptation      | Biosphere Protection (41020)   | Capacity Building                         |
| Improved Resistance to Natural Disasters (NGO OIKOS) – Moçambique   | 7 877,00            | -   | Disbursed | ODA            | Grant                             | Adaptation      | Disaster prevention and preparedness (74010)                         | Technology Transfer and Capacity Building |
| Implementation of pilot-projects for local actions of adaptation programs - Mozambique                                      | 227 542,00          | -   | Disbursed | ODA            | Grant                             | Adaptation      | Rural development (43040)  | Technology Transfer                       |
| Capacity Building for Developing Strategies on Low Carbon Resilient - Cabo Verde  | 72 152,00           | -   | Disbursed | ODA            | Grant                             | Mitigation      | Environmental Policy and administrative management (41010)           | Capacity Building                         |
| Capacity Building for Developing Strategies on Low Carbon Resilient - São Tomé and Príncipe                                 | 72 152,00           | -   | Disbursed | ODA            | Grant                             | Mitigation      | Environmental Policy and administrative management (41010)           | Capacity Building                         |
| Capacity Building for Developing Strategies on Low Carbon Resilient - Mozambique  | 72 152,00           | -   | Disbursed | ODA            | Grant                             | Mitigation      | Environmental Policy and administrative management (41010)           | Capacity Building                         |
| Agro-Energy in Cuba   | 13 980,00           | -   | Disbursed | ODA            | Grant                             | Mitigation      | Energy generation, renewable sources – multiple technologies (23210) | Capacity Building                         |
| North Plateau – Water and Energy as Bases for the Sustainable Development of Communities in Santo Antão Island - Cabo Verde | 53 920,00           | -   | Disbursed | ODA            | Grant                             | Mitigation      | Electrical power transmission and distribution (23630)               | Technology Transfer                       |
| Bioenergy – Local energy production from biomass in Cuba  | 90 000,00           | -   | Disbursed | ODA            | Grant                             | Mitigation      | Biofuel-fired power plants (23270)                                   | Technology Transfer                       |
| Access to Sustainable Energy in Titimane. Integrated Rural Development Component in Mozambique.                             | 67 989,00           | -   | Disbursed | ODA            | Grant                             | Mitigation      | Solar Energy (23230)   | Technology Transfer and Capacity Building |
| Roadmap of Waste – Cabo Verde   | 263 506,00          | -   | Disbursed | ODA            | Grant                             | Mitigation      | Basic drinking water supply and basic sanitation (14030)             | Capacity Building and Technology Transfer |
| Bioenergy exploitation at São Tomé e Príncipe - São Tomé and Príncipe   | 862 500,00          | -   | Disbursed | ODA            | Grant                             | Crosscutting    | Biofuel-fired power plants (23270)                                   | Technology Transfer                       |

<sup>4</sup> Table 7(b) of the excel file.

## PORTUGUESE CARBON FUND

### General Information

In 2010, the FPC opened a funding line for the provision of financial flows for the implementation of the fast start commitment of Portugal. Given the increasing interest and impact of the Environment and CC related issues within the PtC efforts, an inter-ministerial task force was established following the Copenhagen Conference, composed by the representatives of the Portuguese Ministry of Foreign Affairs and the Ministry of Environment.

The financial flows provided by this Fund are additional to previous sources. The financial contribution of the FPC counts as ODA but is an independent and new source that relies entirely on the Fund's independent and autonomous revenues.

Since 2010, the FPC has continuously supported the ongoing implementation of approved projects, whose principal objective is climate change.

The most important source of revenues of the FPC to be used in climate change cooperation is provided through the auctioning of allowances in the context of the Emissions Trading Scheme.

### Examples of Support Through the Portuguese Carbon Fund

| Programme or project title  | Recipient country/ region                     | Targeted area | Description of programme or project   |
|---|---|---------------|---|
| Installation of photovoltaic systems in 50 villages                   | Mozambique                                    | Mitigation    | The project is to provide 50 remote villages, covering all provinces of Mozambique, with solar PV systems in schools and health centers and associated housing (teachers and nurses) that will allow basic access to electricity in a way to allow not only illumination but also refrigerators for vaccines and water pumping systems, thus given access to health and education to the population that does not have these resources. The project also provides training for local technicians to maintain the systems. |
| Capacity Building for the Low Carbon Resilient Development Strategies | Cape Verde, Mozambique, Sao Tome and Principe | Mitigation    | Develop the necessary skills to elaborate, implement and Measure, Report and Verify Low Emissions Development Strategies Resilient to a Changing Climate and coherent with the the National Development Plans and, broadly, the Millennium Development Goals.   |
| IAMCD - Mainstreaming Adaptation to Climate Change in Development     | Cape Verde, Mozambique, Sao Tome and Principe | Adaptation    | Contribute to reducing vulnerability to the impacts of climate change in Cape Verde. Build capacities to integrate the response to vulnerability to climate change into the policy design process (based on the training model developed by GIZ from the OECD Guide). This project is promoted by Cape Verde's National Institute of Meteorology and Geophysics (INMG).   |

Fonte: Camões, I.P./ DPC (2017)

Additionally, the FPC approved and signed a financial agreement with Angola in relation to a biomass project in that country. No disbursements have been made so far, as the project has not kicked off yet.

### New and Additional Financial Resources

The FPC was established with the aim to finance activities/ projects carried out to respond to the challenges of climate change and to meet Kyoto Protocol/ UNFCCC objectives, at both domestic and international levels.

Bearing in mind that financing ODA projects is not a core objective of FPC, Portugal considers that the financing provided by FPC to activities that aim to promote the economic development and welfare of developing countries is new or additional to the current sources of ODA flows (please see table 6).

**TABLE 6**

| NEW AND ADDITIONAL FINANCIAL RESOURCES (2016)              |                            |               |                            |               |                               |            |
|--|----------------------------|---------------|----------------------------|---------------|-------------------------------|------------|
| Source of Flows  | Climate Change Mitigation* |               | Climate Change Adaptation* |               | Climate Change Cross-cutting* |            |
|  | Amount Committed           | %             | Amount Committed           | %             | Amount Committed              | %          |
| <b>Total Flows Disbursed</b>                               | <b>705 851,00 €</b>        | <b>100,00</b> | <b>297 242,00 €</b>        | <b>100,00</b> | <b>862 500,00</b>             | <b>100</b> |
| Of which,<br>Disbursements from the Portuguese Carbon Fund | 479 962,00 €               | 68,00         | 284 464,00 €               | 95,70         | 862 500,00                    | 100        |

\*Only Principal Objective was considered.

Source: Camões, I.P./ DPC (2017); APA I.P. (2017)

### PRIVATE FINANCIAL FLOWS

No information available.

## ANNEX

**Table 7<sup>5</sup>**  
Provision of public financial support: Summary information (2016)

| Allocation channels   | European euro (€) |                  |            |               |       | USD (\$)      |                  |            |               |       |
|---|-------------------|------------------|------------|---------------|-------|---------------|------------------|------------|---------------|-------|
|   | Core/ general     | Climate-specific |            |               |       | Core/ general | Climate-specific |            |               |       |
|   |                   | Mitigation       | Adaptation | Cross-cutting | Other |               | Mitigation       | Adaptation | Cross-cutting | Other |
| <b>Total contributions through multilateral channels:</b>   | 12 881 432,00     | -                | -          | -             | -     | -             | -                | -          | -             | -     |
| Multilateral climate change funds   | -                 | -                | -          | -             | -     | -             | -                | -          | -             | -     |
| Other multilateral climate change funds   | -                 | -                | -          | -             | -     | -             | -                | -          | -             | -     |
| Multilateral financial institutions, including regional development banks                             | 12 812 381,00     | -                | -          | -             | -     | -             | -                | -          | -             | -     |
| Specialized United Nations bodies   | 69 051,00         | -                | -          | -             | -     | -             | -                | -          | -             | -     |
| <b>Total contributions through bilateral, regional and other channels</b>                             |                   | 705 851,00       | 297 242,00 | 862 500,00    | -     |               | -                | -          | -             | -     |
| <b>Total climate specific by funding type (total for mitigation, adaptation, crosscutting, other)</b> |                   | 705 851,00       | 297 242,00 | 862 500,00    | -     |               | -                | -          | -             | -     |
| <b>Total</b>  |                   | 1 865 593,00     |            |               |       |               | -                |            |               |       |

<sup>5</sup> Table 7 of the excel file.