

## Scenario note by the Chair of the Subsidiary Body for Implementation

### I. Introduction

1. The first part of the 2021 session of the Subsidiary Body for Implementation (SBI) was held from 31 May to 17 June 2021 in a virtual setting. I will open the second part of the 2021 session (SBI 52–55) on Sunday, 31 October 2021, at the Scottish Event Campus in Glasgow, United Kingdom of Great Britain and Northern Ireland.
2. In June, I informed Parties that it was my intention to prepare a scenario note, under my own responsibility and in advance of the next sessional period, that would cover all items on the draft provisional agenda and aim at identifying ways forward on such items. Accordingly, this note provides:
  - (a) An overview of the informal work of the SBI already completed in 2020–2021;
  - (b) Guidance for working efficiently, effectively and transparently in Glasgow;
  - (c) A suggested approach and ways forward by agenda item, including several joint items with the Subsidiary Body for Scientific and Technological Advice (SBSTA).
3. This note should be read in conjunction with the provisional agenda and annotations that was issued on 3 September 2021,<sup>1</sup> and which provides information on the mandates, status of work and expectations by the SBI on all items on its agenda, as well as information on mandated events to be convened.
4. It is not my intention to prejudge or limit any approach Parties may take, but I hope that this note will prove useful to helping Parties come well prepared to the session and that it will allow me to undertake fruitful pre-session consultations. Work cannot be further delayed, and I urge Parties to engage constructively in negotiations from their first meetings, capitalizing on progress, as outlined in chapter II below.
5. The contribution of Working Group I to the Sixth Assessment Report of the Intergovernmental Panel on Climate Change confirms that global warming is changing our climate with dire consequences. Climate change is affecting homes and livelihoods across the globe, especially for the poorest and most vulnerable. The window is closing rapidly to curb climate change and build robust societies that can withstand and bounce back from the impacts that are inevitable. Time has never been so short or so precious. This must guide our work in Glasgow.
6. This note was prepared on the basis of the current outlook for developments related to the coronavirus disease 2019 (COVID-19), and considerations made by the Bureau at its meeting on 9 August 2021. Should the circumstances and assumptions on which this note is based change, the approach for the organization of work may need to be reconsidered.

### II. Work for 2020–2021

7. First, I would like to extend my deepest appreciation to the SBSTA Chair, the Presidency of the twenty-fifth session of the Conference of the Parties (COP) and the incoming Presidency of COP 26 for our close collaboration over the past 18 months. I would like to also thank wholeheartedly Parties, observers and other stakeholders for their hard work and dedication during this challenging and unique time in the history of the UNFCCC.
  - A. *A comprehensive provisional agenda*
    8. The work of the SBI is at the core of all issues related to the implementation of the Convention, the Kyoto Protocol and the Paris Agreement. Its agenda is built around mitigation, adaptation, finance, technology and capacity-building, and transparency and articulates all issues that Parties entrust the SBI to consider.
    9. The SBI provisional agenda for the session reflects all mandates for the biennium 2020–2021, to ensure that no issue is left behind. Those issues were mandated to be considered in 2020 at SBI 52 and SBI 53, and in 2021 at SBI 54 and SBI 55. In 2020, owing to the COVID-19 pandemic, no session of the SBI could be convened, which resulted in an accumulation of items to be considered in 2021.

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<sup>1</sup> FCCC/SBI/2021/9.

10. At the closing of the second part of the session of the SBI in 2021, I expect that all issues on the provisional agenda will have been addressed, so that the SBI adopts conclusions and makes the necessary recommendations to the relevant governing body.

*B. 2020 – Keeping the momentum: the June Momentum and the Climate Dialogues*

11. Owing to the challenges and uncertainties triggered by the pandemic, and the postponement of both sessions to 2021, innovative ways to maintain momentum in the UNFCCC process in 2020 were sought. Taking into account the continuous guidance of the Bureau to maximize progress and minimize delays in the work of the subsidiary bodies, I convened, together with the SBSTA Chair and in collaboration with the COP 25 Presidency and incoming COP 26 Presidency, a series of technical events and consultations in a virtual format during the UNFCCC June Momentum for Climate Change<sup>2</sup> and the UNFCCC Climate Dialogues 2020.<sup>3</sup>
12. The series of online events in June 2020 offered an opportunity for Parties and other stakeholders to continue exchanging views and sharing information in order to maintain momentum in the UNFCCC process and to showcase how climate action is progressing under the special circumstances the world was facing.
13. The Climate Dialogues provided a platform for advancing implementation of activities mandated for 2020, to the extent possible, and identifying any potential further action that we, as Chairs, could undertake to help Parties to prepare for effectively engaging in the work of the subsidiary bodies at the sessions to take place in 2021.
14. Following the guidance of the Bureau, events mandated to take place in 2020, intersessionally or in session, have been convened, to the extent possible, in a virtual format. I would like to commend the constituted bodies that made every effort, despite the challenges, to continue implementing their workplans by meeting in a virtual format.

*C. The first sessional period of 2021*

15. Acknowledging that the global health situation remained uncertain, and that there was an urgent need to advance work ahead of COP 26, I responded, together with the other presiding officers, to the request of the Bureau<sup>4</sup> and made available a plan of activities in preparation for the session of the subsidiary bodies held in May–June.<sup>5</sup>
16. The SBI met in a virtual format, where Parties resumed negotiations on the basis of the draft provisional agenda published on 15 April 2021.<sup>6</sup> In view of the time constraints and the specific circumstances under which the first sessional period of 2021 was held, some items on the draft provisional agenda could not be considered at that session. These items will be addressed in Glasgow.
17. In the first sessional period, work was convened in accordance with the modalities the SBSTA Chair and I had presented in a note issued on 7 May,<sup>7</sup> and following the approach I had outlined in my scenario note issued on the same day.<sup>8</sup> To assist me in conducting the informal consultations on the items considered at that session, I identified co-facilitators, and I thank them for their tireless support. I would also like to recognize and commend the constructive engagement of Parties in all informal consultations, mandated events and workshops convened during the May–June sessional period.
18. The overview of progress at the session is captured in an informal note.<sup>9</sup> As indicated therein, I prepared, under my own authority, with the assistance of the co-facilitators, informal notes to capture the progress of informal work for each of the items addressed at the session. In some instances, to enhance transparency, it was useful to reflect progress in a progressive manner through iterations of informal notes posted on the session web page.<sup>10</sup> The elements outlined in the informal notes are not exhaustive, have no formal status and should not be considered final in any way. They are offered to assist Parties in advancing the discussion and do not prejudice

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<sup>2</sup> See <https://unfccc.int/process-and-meetings/conferences/june-momentum-for-climate-change>.

<sup>3</sup> See <https://unfccc.int/cd2020>.

<sup>4</sup> See <https://unfccc.int/sites/default/files/resource/Guidance%20from%20Bureau%2021%20December%202020.pdf> and [https://unfccc.int/sites/default/files/resource/message\\_to\\_parties\\_and\\_observers\\_outcomes\\_of\\_cop\\_bureau\\_meeting.pdf](https://unfccc.int/sites/default/files/resource/message_to_parties_and_observers_outcomes_of_cop_bureau_meeting.pdf).

<sup>5</sup> See <https://unfccc.int/process-and-meetings/bodies/subsidiary-bodies/sbi-chair-lobby>.

<sup>6</sup> FCCC/SBI/2020/1.

<sup>7</sup> Available at <https://unfccc.int/documents/274043>.

<sup>8</sup> Available at <https://unfccc.int/documents/274035>.

<sup>9</sup> Available at <https://unfccc.int/documents/279106>.

<sup>10</sup> See <https://unfccc.int/event/SBI-may-june-2021>.

further work or prevent Parties from expressing their views at any time. In addition, several mandated events were convened, in a virtual format, in conjunction with the session in May–June.<sup>11</sup>

#### *D. Getting ready for Glasgow*

19. After the first part of the session, I provided updates for planned activities under the SBI to engage Parties further in advancing work in preparation for a successful COP 26. The list of 2021 activities that I convened and continue to convene for advancing work under the SBI is available on the web-based SBI Chair lobby.<sup>12</sup>
20. I have been, and will continue to be, working closely with the SBSTA Chair, the Presidency and the incoming Presidency teams to ensure that information is shared and that a consistent and coherent approach is applied to all matters to be addressed in Glasgow. I am convinced that strong coordination between Presiding Officers is essential to the overall success of the COP and to the delivery of coherent and ambitious results in Glasgow. We shall meet regularly throughout the session and shall keep all stakeholders informed accordingly.
21. I attach great importance to openness in the work of the SBI. During the first part of the session in 2021, I encouraged Parties to allow all informal consultations to be open to observers wherever possible, in accordance with the relevant past conclusions of the SBI.<sup>13</sup> Observers were also instrumental in the success of the June Momentum and the Climate Dialogues by contributing substantively to the discussions during the events held therein.
22. I have also maintained an open communication channel with observers, and regularly met with them to share my assessment on how work is progressing under the SBI, as well as my expectations. They have shared with me their concerns and the ways their contributions could benefit the process. It is my intention to convene, together with the SBSTA Chair, consultations with observer constituencies prior to the session, to, inter alia, outline our proposed approach for Glasgow. I also intend to maintain an open channel of communication with observers, just as with Parties, during the entire session in Glasgow.
23. As indicated in paragraph 14 above, I would like to commend the work of the constituted bodies that made every effort, despite the challenges faced, to continue implementing their workplans by also meeting in a virtual format. I urge Parties to take knowledge of their excellent reports ahead of the session and be inspired by the great work accomplished by the constituted bodies. It is essential for the success of this process that consideration of these reports be concluded at this session. Further delay in this regard would lead to an unmanageable delay with respect to the consideration of these reports and to the work of the constituted bodies in general.
24. As noted in paragraph 11 above, we have successfully risen to the challenge of minimizing delays and maximizing progress despite the difficult context. I am confident that, owing to those efforts, we are not coming empty-handed or starting from scratch in Glasgow. I trust that Parties are ready and willing to capitalize on their efforts so that work under the SBI can start promptly on the first day of the Conference.

### **III. Working efficiently, effectively and transparently in Glasgow**

25. The conference in Glasgow may not be business as usual in the context of COVID-19. In particular, time management will be even more challenging with regard to the measures that must be implemented to ensure a safe working environment for all participants. Nevertheless, I would like to reassure Parties that work under the SBI will be conducted in accordance with the draft rules of procedures being applied and will respect the UNFCCC values of transparency and inclusiveness. No issue, and no one, will be left behind.
26. Given the time and space constraints in Glasgow, although all items on the agenda need to be addressed, the allocation of slots for negotiating meetings will be given careful consideration. Based on my assessment of the progress of work, as outlined in chapter II above, as well as my current understanding of expectations from Parties, I propose an approach for organizing work under the various items, taking into account the specifics of each item, as described in chapter IV below. For joint items being considered by both subsidiary bodies, the SBSTA Chair and I have been working closely together to delineate our proposed approach.

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<sup>11</sup> The 4<sup>th</sup> meeting of the Katowice Committee of Experts on the Impacts of the Implementation of Response Measures, the 5<sup>th</sup> meeting of the Paris Committee on Capacity-Building, the 10<sup>th</sup> meeting of the Durban Forum on capacity-building and the second session of the meeting of the structured expert dialogue under the second periodic review of the long-term global goal.

<sup>12</sup> <https://unfccc.int/process-and-meetings/bodies/subsidiary-bodies/sbi-chair-lobby>.

<sup>13</sup> See documents FCCC/SBI/2011/7, para. 167, and FCCC/SBI/2014/8, paras. 222–223.

27. I have strived to be mindful of concerns raised by all groups and Parties and have tried to address the challenges that they have met in this difficult context. I look forward to meeting again in person in Glasgow, and will keep my door open to all those who would like to meet with me, starting with the pre-session consultations.
28. During the pre-session consultations, I will meet with all negotiating groups of Parties, and any Party who wishes to meet with me on a specific issue, and will aim to reach the following objectives:
  - (a) To further understand expectations from, and concerns of, Parties;
  - (b) To outline my proposed approach for the session and the various agenda items;
  - (c) To seek support from Parties on the way forward to ensure a smooth adoption of the agenda and a speedy launch of work at the opening of the SBI.
29. The SBI will open on Sunday, 31 October, after the opening of sessions of the governing bodies. The governing bodies may refer some work to the SBI, as appropriate, which will automatically be included on the SBI agenda. The provisional agenda for SBI 52–55 will be presented for adoption, after which I expect that the SBI will swiftly launch its work, in line with my proposed approach, which includes the following considerations:
  - (a) Draft texts should be produced at an early stage of the negotiations. I trust that Parties are ready to rise to this challenge. In particular, and where appropriate, Parties could build on the progress made in the informal work undertaken in the past two years, including as reflected in the informal note prepared under my authority in May–June 2021;
  - (b) Time and space should be used efficiently. To the extent possible, agreement should be reached in a few negotiating sessions. Embracing homework may be necessary in some instances, and Parties may wish to engage constructively in an informal set-up to advance draft texts;
  - (c) The SBI may take note, at the opening plenary, of available information on issues that do not require negotiations;
  - (d) The SBI may agree to continue consideration of items that do not require urgent resolution and/or for which resolution is contingent on other work that may require more time to be completed in Glasgow.
30. Following the opening plenaries of the subsidiary bodies, a joint plenary session of all governing and subsidiary bodies will hear statements from groups, Parties and observers. Given the time constraints, it will be important to keep statements short, and there will be the possibility for groups, Parties and observers to upload their statements directly to the submission portal.<sup>14</sup>
31. Events mandated to take place in conjunction with the session will be organized as announced.<sup>15</sup>
32. I count on everyone's support to respect the strict timing imposed on the meeting room schedules owing to the limited room capacity and the required cleaning procedures between each meeting.
33. Negotiating groups will have to finalize their draft conclusions or recommendations at the latest by 6 p.m. on Friday, 5 November, to allow time for them to be made available in the six official United Nations languages before the closing plenary, which is tentatively scheduled to take place at 6 p.m. on Saturday, 6 November.
34. With regard to participation of observers, it is my intention to continue to encourage Parties to allow all informal consultations to be open to observers, in accordance with the relevant past conclusions of the SBI.

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<sup>14</sup> <https://www4.unfccc.int/sites/submissionsstaging/Pages/Home.aspx>.

<sup>15</sup> [https://unfccc.int/sites/default/files/resource/Overview\\_schedule\\_COP26.pdf](https://unfccc.int/sites/default/files/resource/Overview_schedule_COP26.pdf).

## IV. Status of and proposed approach to the work, by agenda item

### **Organizational matters**

*(Item 2 of the provisional agenda)*

### **Multilateral assessment under the international assessment and review process**

*(Sub-item 2(d) of the provisional agenda)*

35. During SBI sessions, developed country Parties undergo a multilateral assessment (MA) with the participation of all Parties.<sup>16</sup> During the MA working group session in Glasgow, the Party under multilateral assessment may make a short statement that will be followed by oral questions by Parties and responses by the Party being multilaterally assessed.
36. In 2020, the fourth cycle of the international assessment and review (IAR) process started with the submission of the fourth biennial reports (BR4s) from Parties included in Annex I to the Convention (Annex I Parties) and the technical review of these reports by international expert review teams. In order for the selected Parties to participate in the MA session, their technical review reports should be made available at least three months before the working group session. During the Climate Dialogues and the session in May–June 2021, a total of 30 Parties were multilaterally assessed virtually as part of the fourth IAR cycle.
37. An additional 10 Parties<sup>17</sup> will be multilaterally assessed as part of the fourth IAR cycle in Glasgow, in a working group session open to all Parties. Three months before the SBI session, the secretariat published the technical review reports of the BR4s of these 10 Parties. Interested Parties can submit written questions in advance and the Parties being multilaterally assessed will prepare answers to be published on the UNFCCC website before the MA working group session begins.
38. Due to the time and space constraints in Glasgow, Parties have been asked to pre-record their presentations. These recordings will be made publicly available by the secretariat on the individual Party MA web pages<sup>18</sup> before the MA session. Parties are encouraged to watch the recorded presentations before the MA session. To maximize time during the MA working group session, Parties under MA will be invited to make a short statement, which will be followed by the question and answer session.
39. After the MA working group session, the summary reports on the assessments held in 2020–2021 will be published in an addendum to the report on the 2021 SBI session.

### **Facilitative sharing of views under the international consultation and analysis process**

*(Sub-item 2(e) of the provisional agenda)*

40. COP 17 decided that the SBI shall, at regular intervals, convene a workshop for the facilitative sharing of views (FSV), open to all Parties for which a biennial update report (BUR) and a final summary report have been published.<sup>19</sup> Parties will be allowed to submit written questions in advance. The session in Glasgow will consist of a short statement by the Party concerned on its BUR, followed by oral questions and answers among Parties.
41. In order for the selected Parties to participate in the FSV workshop, their technical analysis reports should be made available at least three months before the workshop. During the Climate Dialogues, 17 Parties went through an FSV session, and during the first sessional period in 2021, 10 Parties went through the 10<sup>th</sup> FSV in a virtual format. For this session, the secretariat has published the technical analysis reports of seven developing country Parties that are ready to go through an FSV session.<sup>20</sup>
42. As part of the international consultation and analysis (ICA) process for developing countries, the 11<sup>th</sup> FSV will be organized with seven Parties presenting. Due to the time and space constraints in Glasgow, Parties have been asked to pre-record their presentations. These recordings will be made publicly available on the FSV web page<sup>21</sup> before the FSV workshop. Parties are encouraged to see the recorded presentations before the FSV workshop.

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<sup>16</sup> Decision 2/CP.17, annex II.

<sup>17</sup> Croatia, Iceland, Kazakhstan, Liechtenstein, Luxembourg, Monaco, Poland, Romania, Slovenia and United Kingdom.

<sup>18</sup> <https://unfccc.int/ma>.

<sup>19</sup> Decision 2/CP.17, annex IV.

<sup>20</sup> Cambodia, Dominican Republic, India, Lao People's Democratic Republic, Oman, Tajikistan and Uruguay.

<sup>21</sup> <https://unfccc.int/FSV>.

43. To maximize time during the FSV workshop, Parties under the ICA process will be invited to make a short statement, which will be followed by the question and answer session.

**Reporting from and review of Parties included in Annex I to the Convention**

*(Item 3 of the provisional agenda)*

**Status of submission and review of seventh national communications and third and fourth biennial reports from Parties included in Annex I to the Convention**

*(Sub-item 3(a) of the provisional agenda)*

44. As indicated in paragraph 29 c. above, and as reported in the provisional agenda and annotations, I will invite the SBI to take note of the status of submissions and review of BR4s.

**Compilations and syntheses of second, third and fourth biennial reports from Parties included in Annex I to the Convention**

*(Sub-item 3(b) of the provisional agenda)*

45. As part of the IAR process under the Convention, Annex I Parties prepare a report every two years. These BRs highlight the assessment by Annex I Parties of their progress towards meeting their 2020 target and the provision of financial, technology and capacity-building support to developing country Parties. These reports also showcase climate actions and institutional frameworks put in place to enable a long-term transition to low-emission societies serving as a solid foundation for ambitious post-2020 nationally determined contributions (NDCs) and long-term low-emission development strategies. COP 17 requested the secretariat to prepare compilation and synthesis reports on the information reported by Parties in their BRs.<sup>22</sup> Compilation and synthesis reports of BR2s, BR3s and BR4s are available for consideration.
46. As indicated in paragraph 29 d. above, Parties may wish to continue consideration of this sub-item at a subsequent session.

**Reports on national greenhouse gas inventory data from Parties included in Annex I to the Convention for the periods 1990–2016, 1990–2017, 1990–2018 and 1990–2019**

*(Sub-item 3(c) of the provisional agenda)*

47. As indicated in paragraph 29 c. above, and as reported in the provisional agenda and annotations, I will invite the SBI to take note of the information contained in the four reports that have been made available.

**Revision of the modalities and procedures for international assessment and review**

*(Sub-item 3(d) of the provisional agenda)*

48. The IAR process under the Convention aims to promote the comparability of efforts among all developed country Parties; build confidence with regard to developed countries meeting their 2020 quantified economy-wide emission limitation and reduction targets; and enable Parties to discuss the review results of individual Parties. Annex I Parties prepare a BR highlighting their assessment of progress in meeting their 2020 target and the provision of financial, technology and capacity-building support to developing country Parties.
49. Since 2014, the IAR process has delivered expected results following the existing IAR modalities. The IAR process will be superseded by the technical expert review and facilitative, multilateral consideration of progress under the enhanced transparency framework under the Paris Agreement (ETF) in 2024. Parties are expected to conclude technical work on the ETF in Glasgow.
50. As indicated in paragraph 29 d. above, Parties may wish to continue consideration of this sub-item at a subsequent session.

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<sup>22</sup> Decision 2/CP.17, para. 21.

## **Reporting from Parties not included in Annex I to the Convention**

*(Item 4 of the provisional agenda)*

### **Information contained in national communications from Parties not included in Annex I to the Convention**

*(Sub-item 4(a) of the provisional agenda)*

51. Due to time constraints, I propose to keep this sub-item in abeyance at this session.

### **Report (for 2020 and 2021) and terms of reference of the Consultative Group of Experts**

*(Sub-item 4(b) of the provisional agenda)*

52. COP 24 decided to extend the term of the Consultative Group of Experts (CGE) for eight years, from 1 January 2019 to 31 December 2026, and requested the SBI to review and revise the terms of reference of the CGE.<sup>23</sup> At COP 25, Parties were very close to reaching an agreement on this matter. COP 25 requested the SBI to conclude its work on this matter,<sup>24</sup> taking into account the informal note on the report and terms of reference of the CGE.<sup>25</sup>
53. In May–June 2021, the SBI conducted work informally on the terms of reference of the CGE, and I prepared, with the assistance of the co-facilitators, an informal note<sup>26</sup> to capture progress.
54. I propose to set up informal consultations on this sub-item and to invite a pair of co-facilitators to assist me in this work during the session. In addition to the consideration of the annual progress reports of the CGE for 2020 and 2021, I encourage Parties to focus on the limited outstanding issues pertaining to the review of the terms of reference of the CGE, including its composition. To conclude work on this matter, I invite Parties to constructively engage in the informal consultations, taking into account the informal note referred to in paragraph 52 above. Discussions can be further informed by earlier progress, including as reflected in the informal note referred to in paragraph 53 above. I expect that the SBI will be in a position to forward a draft decision for consideration and adoption by the COP in Glasgow.

### **Provision of financial and technical support**

*(Sub-item 4(c) of the provisional agenda)*

55. This sub-item covers funding from the Global Environment Facility (GEF) for the preparation of national communications (NCs) and BURs, as well as biennial transparency reports; the Capacity-building Initiative for Transparency; the Global Support Programme for Preparation of National Communications and Biennial Update Reports by non-Annex I Parties, funded by the GEF and administered jointly by the United Nations Development Programme and the United Nations Environment Programme; and other technical support provided by the secretariat. From SBI 46 to SBI 51, Parties were unable to agree on a text for this agenda sub-item and adopted only procedural conclusions that captured an agreement to continue the discussions. The key issue is with respect to equitable and efficient access to financial and technical support from the GEF for the preparation and submission of NCs and BURs.
56. In May–June 2021, the SBI conducted work informally on the provision of financial and technical support to assist developing country Parties with their reporting needs. I prepared, with the assistance of the co-facilitators, an informal note<sup>27</sup> to capture the progress of this work. I was encouraged by Parties' rich and constructive discussions towards a resolution of this matter.
57. I propose to set up informal consultations on this sub-item and to invite a pair of co-facilitators to assist me in this work during the session. To conclude work on this matter, I invite Parties to continue to constructively engage in the informal consultations and resume substantive discussion on the provision of financial and technical support to assist developing country Parties with their reporting needs. I also encourage Parties to build on earlier progress, including as reflected in the informal note referred to in paragraph 56 above, to produce, in a swift manner, a first draft of conclusions and to reach an agreement in a few negotiation sessions. Parties may also wish to engage constructively in a more informal set-up, as appropriate. I expect that Parties will reach a substantive agreement on this sub-item in a timely manner.

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<sup>23</sup> Decision 11/CP.24, paras. 1 and 5.

<sup>24</sup> FCCC/CP/2019/13, para. 56.

<sup>25</sup> Available at <https://unfccc.int/documents/203365>.

<sup>26</sup> Available at <https://unfccc.int/documents/277999>.

<sup>27</sup> Available at <https://unfccc.int/documents/278000>.

**Summary reports on the technical analysis of biennial update reports of Parties not included in Annex I to the Convention**

*(Sub-item 4(d) of the provisional agenda)*

58. As indicated in paragraph 29 c. above, and as reported in the provisional agenda and annotations, I will invite the SBI to take note of the summary reports finalized in the period up to 15 August 2021.

**Revision of the modalities and guidelines for international consultation and analysis**

*(Sub-item 4(e) of the provisional agenda)*

59. As part of the ICA process under the Convention, Parties not included in Annex I to the Convention prepare BURs every two years. Participation in the ICA process enables Parties to identify areas for improved reporting and their capacity-building needs, and informs the international community of their key achievements and voluntary actions. As developing country Parties transition to the ETF, the contribution of the ICA process has been well acknowledged, in particular, as a vehicle to facilitate effective transition to and successful implementation of the ETF. The ICA process will be superseded by the technical expert review and facilitative, multilateral consideration of progress under the ETF under the Paris Agreement in 2024. Parties are expected to conclude technical work on the ETF in Glasgow.
60. As indicated in paragraph 29 d. above, Parties may wish to continue consideration of this sub-item at a subsequent session.

**Common time frames for nationally determined contributions referred to in Article 4, paragraph 10, of the Paris Agreement**

*(Item 5 of the provisional agenda)*

61. In Article 4, paragraph 10, of the Paris Agreement, Parties agreed to consider common time frames for NDCs. In Katowice, Parties agreed that common time frames would apply for the NDCs to be implemented from 2031 onward.<sup>28</sup> Since then, Parties' discussions in SBI sessions produced 10 options for consideration, but these were lost when Parties were unable to reach conclusions in Madrid. The productive informal technical work undertaken during the Climate Dialogues on this matter enabled Parties to bring options back to the table. In May–June 2021, I was further encouraged by the informal work conducted by the SBI on this matter. I also prepared, with the assistance of the co-facilitators, an informal note<sup>29</sup> to capture progress to date. This informal note reflects a limited number of options and a few concrete proposals from Parties.
62. Common time frames are central to a well-functioning implementation of the Paris Agreement, including for the NDC communication cycle, for accounting for cooperation under Article 6 and for the global stocktake. But more importantly, they enable Parties to move together towards a low-emission future, although in different and nationally determined ways. Parties therefore have certainty that they are not the only ones moving forward. No one can or will deliver on the Paris Agreement alone. The question Parties will need to answer in Glasgow is how the agreement on common time frames can be aligned with the five-year cycle of the global stocktake, while catering to each Party's unique circumstances and ensuring the highest possible ambition.
63. Ministerial consultations took place on 7 September 2021 at the invitation of the incoming President of COP 26.<sup>30</sup> I was encouraged to hear ministers searching for a solution that would accommodate all.
64. Being further informed by earlier progress, including as reflected in the informal note and the outcome of the ministerial consultations referred to in paragraphs 61 and 63 above, respectively, I propose to conduct informal consultations with Parties. I trust that a political solution to this issue is within reach and that this matter can be resolved at the Conference of the Parties serving as the meeting of the Parties to the Paris Agreement (CMA).

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<sup>28</sup> Decision 6/CMA.1, para.2.

<sup>29</sup> Available at <https://unfccc.int/documents/279077>.

<sup>30</sup> See <https://unfccc.int/process-and-meetings/bodies/supreme-bodies/conference-of-the-parties-cop/presidency-consultations-and-other-presidency-meetings/informal-consultations-by-the-cop-25-presidency-and-the-cop-26-incoming-presidency#eq-33>.

## **Matters relating to the mechanisms under the Kyoto Protocol**

*(Item 6 of the provisional agenda)*

### **Review of the modalities and procedures for the clean development mechanism**

*(Sub-item 6(a) of the provisional agenda)*

65. The Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP), at its eighth session, requested the SBI to prepare recommendations on possible changes to the clean development mechanism (CDM) modalities and procedures for consideration at CMP 9, with a view to adopting a decision on the matter at that session. The SBI has considered this matter at its sessions since SBI 39. Consideration of this matters has been continuously deferred since SBI 47.
66. As indicated in paragraph 29 d. above, Parties may wish to continue consideration of this sub-item at a subsequent session.

### **Procedures, mechanisms and institutional arrangements for appeals against decisions of the Executive Board of the clean development mechanism**

*(Sub-item 6(b) of the provisional agenda)*

67. In the last substantive discussion on this issue at SBI 44, the main outstanding issue was whether the appeals body would consider appeals only with regard to decisions to reject or alter requests for registration or also decisions to approve such requests. In 2016, it was agreed to postpone this sub-item until 2019, at which time it was postponed until SBI 52.
68. As indicated in paragraph 29 d. above, Parties may wish to continue consideration of this sub-item at a subsequent session.

### **Report of the administrator of the international transaction log under the Kyoto Protocol (for 2020 and 2021)**

*(Sub-item 6(c) of the provisional agenda)*

69. As indicated in paragraph 29 c. above, and as reported in the provisional agenda and annotations, I will invite the SBI to take note of the 2020–2021 reports of the international transaction log administrator.

### **Second periodic review of the long-term global goal under the Convention and of overall progress towards achieving it\***

*(Item 7 of the provisional agenda)*

70. COP 25 decided that the second periodic review of the long-term global goal and progress towards achieving it would start in the second half of 2020 and conclude in 2022, with the structured expert dialogue under the second periodic review (SED2) to be held in conjunction with sessions of the subsidiary bodies, starting in November 2020 and being completed in November 2021.<sup>31</sup>
71. The first session of the first meeting of the structured expert dialogue under the second periodic review (SED2-1.1) took place during the Climate Dialogues in 2020. SED2-1.2 was convened in May–June 2021, and the second meeting (SED2-2) will be convened during the sessions in Glasgow, tentatively scheduled for 2<sup>nd</sup> and 4<sup>th</sup> November 2021. The SBSTA Chair and I expect that Parties will have constructive discussions at SED2-2.
72. In May–June 2021, the SBI and the SBSTA conducted work informally on this matter and the SBSTA Chair and I prepared, with the assistance of the co-facilitators, an informal note<sup>32</sup> to capture progress.
73. The SBSTA Chair and I propose to establish a joint contact group on this item, in line with the modalities of the second periodic review. We will invite a pair of co-chairs to assist us in this work during the session. To conclude work on this matter, we encourage Parties to build on earlier progress, including as reflected in the informal note referred to in paragraph 72 above, to produce, in a swift manner, a first draft of conclusions and to reach an agreement in a few negotiation sessions. Parties may also wish to engage constructively in a more informal set-up. We expect that Parties will reach an agreement on this item in a timely manner.

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<sup>31</sup> Decision 5/CP.25, para.7.

<sup>32</sup> Available at <https://unfccc.int/documents/278132>.

**Koronivia joint work on agriculture\***

*(Item 8 of the provisional agenda)*

74. Under the Koronivia joint work on agriculture, the SBSTA and the SBI jointly address issues related to agriculture, including through workshops and expert meetings, working with constituted bodies under the Convention and taking into consideration the vulnerabilities of agriculture to climate change and approaches to addressing food security. In line with the Koronivia road map,<sup>33</sup> approved at SB 48, six mandated workshops have taken place, held at SB 49, 50 and 51 and the Climate Dialogues. The first part of the workshop mandated to take place between SB 51 and 52<sup>34</sup> was held virtually in May–June 2021 with a focus on element (a), and the second part, with a focus on element (b), will take place before the session in October–November. More information relating to the workshop will be provided in due time<sup>35</sup>. I would like to commend Parties and other stakeholders for their intense engagement in those events, which helped plan the way forward in 2021.
75. As at 6 October, 6 Parties, including on behalf of 3 groups of Parties and 4 observer organizations, had submitted views, available on the submission portal, on this agenda item in response to the invitation of the SBSTA and the SBI.<sup>36</sup>
76. In May–June 2021, the SBI and the SBSTA conducted work informally and the SBSTA Chair and I prepared, with the assistance of the co-facilitators, four informal notes<sup>37</sup> to capture the progress of the work and the discussions on the outcomes from the three mandated workshops conducted in the sessional period (on topics 2(d), 2(e) and 2(f)). The depth and comprehensiveness of these notes reflect the amount of work and willingness to progress of all those engaged in the discussions.
77. The SBSTA Chair and I propose to set up informal consultations on this item and to invite a pair of co-facilitators to assist us in this work during the session. To conclude work on this matter, we invite Parties, being further informed by earlier progress, including as reflected in the informal notes referred to in paragraph 76 above, to continue to constructively engage in the informal consultations, in particular through the consideration of the workshop reports prepared for the session<sup>38</sup> and taking into account the submissions from Parties and observers. The SBSTA Chair and I trust that Parties shall reach an agreement on this matter in a few negotiations sessions with a view to reporting thereon at the COP.

**Report of the Adaptation Committee (for 2019, 2020 and 2021)\***

*(Item 9 of the provisional agenda)*

78. The Adaptation Committee (AC) is the overall advisory body under the Convention for promoting the implementation of enhanced action on adaptation in a coherent manner. It also serves the Paris Agreement.<sup>39</sup> In 2020 and 2021, the AC held its 17<sup>th</sup>, 18<sup>th</sup>, 19<sup>th</sup> and 20<sup>th</sup> meetings virtually. I would like to commend the efforts and work of the AC.
79. SB 51 considered the AC report for 2019.<sup>40</sup> Since consideration of this item could not be completed, it has been included in the provisional agendas for SB 52–55, as per rule 16 of the draft rules of procedures being applied.
80. Information on the progress of the AC in implementing its workplan in 2020 and 2021, including fulfilling relevant mandates from the subsidiary bodies, the COP and the CMA, is contained in the reports of the AC for 2020<sup>41</sup> and 2021.<sup>42</sup> The AC agreed to include recommendations arising from its work for consideration by the COP and the CMA in its 2021 report.
81. The SBSTA Chair and I propose to set up informal consultations on this item and to invite a pair of co-facilitators to assist us in this work during the sessions. We encourage Parties to move swiftly to consider the 2019, 2020 and 2021 reports, including the recommendations elaborated by the AC and to forward a draft decision or conclusions for consideration and adoption by the COP and the CMA.

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<sup>33</sup> FCCC/SBI/2018/9, annex I, and FCCC/SBSTA/2018/4, annex I.

<sup>34</sup> FCCC/SBI/2019/9, para 47, and FCCC/SBSTA/2019/2, para 45.

<sup>35</sup> <https://unfccc.int/event/koronivia-intersessional-workshop-part-2>

<sup>36</sup> FCCC/SBI/2018/9, para 43, and FCCC/SBSTA/2018/4, para 65.

<sup>37</sup> Available at <https://unfccc.int/documents/278837> (with further references provided in footnote 4 of the note).

<sup>38</sup> FCCC/SB/2020/1, FCCC/SB/2021/1, FCCC/SB/2021/2 and FCCC/SB/2021/3.

<sup>39</sup> As per decision 11/CMA.1, para. 1.

<sup>40</sup> FCCC/SB/2019/3.

<sup>41</sup> FCCC/SB/2020/2.

<sup>42</sup> FCCC/SB/2021/6.

82. In addition, the COP will be invited to refer the review of the progress, effectiveness and performance of the AC to the SBSTA and the SBI.<sup>43</sup> The SBSTA Chair and I expect this matter to be considered in the informal consultations referred to in paragraph 81 above.

**Report of the Executive Committee of the Warsaw International Mechanism for Loss and Damage associated with Climate Change Impacts (for 2020 and 2021)\***

*(Item 10 of the provisional agenda)*

83. The Loss and Damage Mechanism fulfils the role under the Convention of promoting implementation of approaches to address loss and damage associated with the adverse effects of climate change in a comprehensive, integrated and coherent manner. The Executive Committee held its 11<sup>th</sup>, 12<sup>th</sup>, 13<sup>th</sup> and 14<sup>th</sup> meetings virtually in 2020–2021 and all five of its expert groups also held meetings. I would like to commend the efforts and work of the Executive Committee.
84. The 2020 report of the Executive Committee<sup>44</sup> highlights its progress in implementing its five-year rolling workplan, including information on work carried out by the task force on displacement and the technical expert group on comprehensive risk management, and the terms of reference developed by the Committee for its three other expert groups, on slow onset events, non-economic losses, and action and support, thereby paving the way for launching the groups. The report also contains recommendations arising from work undertaken since November 2019.
85. The 2021 report of the Executive Committee<sup>45</sup> highlights, among other areas, the progress of the three newly launched expert groups in developing their respective rolling plans of action. The work of the expert groups is integral to the technical advice and support that the Committee is mandated to enhance and catalyse. The report also contains recommendations arising from the work undertaken by the Committee and its expert groups and information on the progress of organizations in providing technical assistance to developing countries under the Santiago network for averting, minimizing and addressing loss and damage associated with the adverse effects of climate change.
86. The SBSTA Chair and I propose to set up informal consultations on this item and to invite a pair of co-facilitators to assist us in this work during the session. We encourage Parties to move swiftly to consider the 2020 and 2021 reports, including the recommendations elaborated by the Executive Committee, and to forward a draft decision for consideration and adoption by the appropriate body or bodies.<sup>46</sup>

**Matters relating to the least developed countries**

*(Item 11 of the provisional agenda)*

87. Established in 2001, the Least Developed Countries Expert Group (LEG) is one of the critical pillars of support under the Convention and the Paris Agreement, supporting the most vulnerable countries – the least developed countries.
88. The COP decided to review, at COP 26, the progress, need for continuation and terms of reference of the LEG. It also decided on the following actions and steps necessary for the SBI to initiate the review: (1) the LEG was to convene a meeting with representatives of Parties and relevant organizations to take stock of its work, (2) Parties were invited to submit their views on the work of the LEG, (3) the secretariat was to prepare a report on the LEG stocktaking meeting for consideration at SBI 52 as input to the review and (4) the secretariat was to prepare a synthesis report on the progress, need for continuation and terms of reference of the LEG on the basis of submissions from Parties, reports of the LEG, the report on the LEG stocktaking meeting and other relevant information for consideration by the SBI as input to the review.<sup>47</sup> These actions and steps were completed in 2020. In addition, the LEG convened its 37<sup>th</sup>, 38<sup>th</sup> and 39<sup>th</sup> meetings in 2020 and 2021, the last two meetings virtually, and organized several information and technical events during the June Momentum and the Climate Dialogues. I would like to commend the efforts and work of the LEG.

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<sup>43</sup> As per document FCCC/CP/2021/1, para. 50.

<sup>44</sup> FCCC/SB/2020/3.

<sup>45</sup> FCCC/SB/2021/4 and Add.1–2.

<sup>46</sup> I understand that consultations on the issue of the governance of the Warsaw International Mechanism will be held under the authority of the incoming President of COP 26 and CMA 3.

<sup>47</sup> Decision 19/CP.21, paras. 13–14.

89. In May–June 2021, the SBI conducted work informally on matters related to the least developed countries and I prepared, with the assistance of the co-facilitators, an informal note<sup>48</sup> to capture progress. I am encouraged by the constructive engagement of Parties and their efforts to advance work under the review of the LEG towards a resolution of these matters.
90. I propose to set up informal consultations on this item and to invite a pair of co-facilitators to assist me in this work during the session. To conclude work on this matter, I encourage Parties to build on earlier progress, including as reflected in the informal note referred to in paragraph 89 above, to produce, in a swift manner, a first draft of conclusions and to reach an agreement in a few negotiation sessions. Parties may also wish to engage constructively in a more informal set-up. I expect that Parties will be in a position to forward a recommendation on the review of the LEG to the COP, in a timely manner.

### **National adaptation plans**

*(Item 12 of the provisional agenda)*

91. COP 25 requested SBI 53 to consider information from the reports of the AC and the LEG, including on gaps and needs and the implementation of national adaptation plans, and to take further action as appropriate.<sup>49</sup>
92. In May–June 2021, the SBI conducted work informally on national adaptation plans and I prepared, with the assistance of the co-facilitators, an informal note<sup>50</sup> to capture progress.
93. I propose to set up informal consultations on this item and to invite a pair of co-facilitators to assist me in this work during the session. To conclude work on this matter, I invite Parties to constructively engage in a few informal consultations, being further informed by earlier progress, including as reflected in the informal note referred to in paragraph 92 above, and agree on the possible elements of the draft decision on this matter. I expect that the SBI will be in a position to forward a substantive recommendation on this matter for consideration and adoption by the COP.

### **Development and transfer of technologies and implementation of the Technology Mechanism**

*(Item 13 of the provisional agenda)*

#### **Joint annual report of the Technology Executive Committee and the Climate Technology Centre and Network (for 2020 and 2021)\***

*(Sub-item 13(a) of the provisional agenda)*

94. The joint annual report of the Technology Executive Committee (TEC) and the Climate Technology Centre and Network (CTCN) highlights the work undertaken by the two bodies of the Technology Mechanism, established by the COP in 2010. The Technology Mechanism also serves the Paris Agreement.<sup>51</sup> The joint annual reports of the TEC and the CTCN for 2020<sup>52</sup> and 2021<sup>53</sup> include information on regular activities under the Technology Mechanism and recommendations to Parties, on the two bodies incorporating guidance from the technology framework into their workplans and programmes of work, respectively, and on their joint activities for 2021–2022. I would like to commend the efforts and work of the TEC and the CTCN.
95. The SBSTA Chair and I propose to set up informal consultations on this sub-item and to invite a pair of co-facilitators to assist us in this work during the sessions. We encourage Parties to move swiftly to consider the joint annual reports and their recommendations, and to prepare draft decisions for consideration and adoption by the COP and the CMA. These decisions shall provide further guidance to the TEC and the CTCN, as needed, to ensure the effective implementation of the Technology Mechanism in supporting the implementation of technology development and transfer related activities under the Convention and the Paris Agreement, in particular the technology framework.

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<sup>48</sup> Available at <https://unfccc.int/documents/279101>.

<sup>49</sup> Decision 7/CP.25, para. 11.

<sup>50</sup> Available at <https://unfccc.int/documents/278003>.

<sup>51</sup> As per Article 10, para. 3, of the Paris Agreement.

<sup>52</sup> FCCC/SB/2020/4.

<sup>53</sup> FCCC/SB/2021/5.

**Alignment between processes pertaining to the review of the Climate Technology Centre and Network and the periodic assessment referred to in paragraph 69 of decision 1/CP.21**

*(Sub-item 13(b) of the provisional agenda)*

96. The Technology Mechanism was established at COP 16 to enhance action on technology development and transfer to support action on mitigation and adaptation in order to achieve full implementation of the Convention. It comprises the CTCN and the TEC. The Technology Mechanism also serves the Paris Agreement.<sup>54</sup>
97. The terms of reference of the CTCN<sup>55</sup> stipulate an independent review of the effective implementation of the CTCN every four years. The review findings, including any recommendations for enhancing the performance of the CTCN, are considered by the COP.<sup>56</sup> The first independent review of the CTCN took place at COP 23.
98. CMA 1 adopted the scope of and modalities for the periodic assessment of the effectiveness and adequacy of the support provided to the Technology Mechanism in supporting implementation of the Paris Agreement on matters relating to technology development and transfer in accordance with decision 1/CP.21 (hereinafter referred to as the periodic assessment of the Technology Mechanism).<sup>57</sup>
99. In view of the different review processes pertaining to the CTCN (the independent review of the CTCN and the periodic assessment of the Technology Mechanism), as referred to in paragraphs 97–98 above, Parties decided at CMA 1 that consideration should be given to a possible alignment between such processes and requested SBI 51 to initiate such consideration with a view to recommending a draft decision for consideration and adoption at CMA 3.<sup>58</sup> As requested by SBI 51,<sup>59</sup> the secretariat prepared an information note on the possible options and their implications for such alignment.<sup>60</sup>
100. In May–June 2021, the SBI conducted work informally on this matter and I prepared, with the assistance of the co-facilitators, an informal note<sup>61</sup> to capture progress, which resulted in narrowing the number of options for aligning the independent review of the CTCN and the periodic assessment of the Technology Mechanism.
101. I propose to set up informal consultations on this sub-item and to invite a pair of co-facilitators to assist me in this work during the session. To conclude work on this matter, I encourage Parties to build on earlier progress, including as reflected in the informal note referred to in paragraph 100 above, to produce, in a swift manner, a first draft of conclusions and to reach an agreement in a few negotiation sessions. Parties may also wish to engage constructively in a more informal set-up. I expect that Parties will reach an agreement in a timely manner and that the SBI will be in a position to forward a recommendation on this matter to the CMA.

**Poznan strategic programme on technology transfer**

*(Sub-item 13(c) of the provisional agenda)*

102. The GEF provides a progress report on the Poznan strategic programme on technology transfer to each SBI session held in conjunction with the COP. Parties considered the recommendations contained in the TEC updated evaluation report of the Poznan strategic programme at SBI 51. As a result, SBI 51 invited the TEC and the CTCN to include in their joint annual report for 2020 information on the outcomes of their actions in response to the relevant recommendations in the updated evaluation report of the Poznan strategic programme. Another document to be considered under this agenda sub-item is the report on the fourth synthesis of technology needs identified by Parties not included in Annex I to the Convention. The SBI is invited to determine any further action deemed necessary.
103. As indicated in paragraph 29 d. above, Parties may wish to continue consideration of this sub-item at a subsequent session.

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<sup>54</sup> Article 10, para. 3, of the Paris Agreement.

<sup>55</sup> Decision 2/CP.17, annex VII.

<sup>56</sup> Decision 2/CP.17, annex VII, para. 20.

<sup>57</sup> Decision 16/CMA.1, para. 1.

<sup>58</sup> Decision 16/CMA.1, para. 6.

<sup>59</sup> FCCC/SBI/2019/20, para. 62.

<sup>60</sup> FCCC/SBI/2020/INF.5.

<sup>61</sup> Available at <https://unfccc.int/documents/279031>.

### **Linkages between the Technology Mechanism and the Financial Mechanism of the Convention**

*(Sub-item 13(d) of the provisional agenda)*

104. COP 22 invited the TEC, the CTCN and the operating entities of the Financial Mechanism to provide information on their actions in strengthening the linkages between the Technology Mechanism and the Financial Mechanism in their annual reports to the COP for guidance on further actions if needed.<sup>62</sup> COP 24 requested SBI 53 to take stock of progress in strengthening these linkages with a view to recommending a draft decision on this matter, including on the consideration of a conclusion on this matter.<sup>63</sup>
105. The CTCN, the TEC, the Green Climate Fund and the GEF have undertaken focused efforts to strengthen their linkages, as indicated in their annual reports. This has resulted in concrete institutional linkages between the mechanisms at different levels, including annual meetings between the bodies to enhance coherence, collaboration in specific areas of work such as climate technology incubators and accelerators, and cooperation between national designated entities and national designated authorities.
106. I propose to set up informal consultations on this sub-item and to invite a pair of co-facilitators to assist me in managing this work during the session. I invite Parties to consider the efforts undertaken by the CTCN, the TEC, the Green Climate Fund and the GEF, as referred to in paragraph 105 above, and to forward a draft decision on this matter to the COP, including on the consideration of closing this matter.

### **Matters relating to the Adaptation Fund**

*(Item 14 of the provisional agenda)*

#### **Membership of the Adaptation Fund Board**

*(Sub-item 14(a) of the provisional agenda)*

107. The Adaptation Fund (AF) was established in 2001 to finance concrete adaptation projects and programmes in developing countries that are Parties to the Kyoto Protocol that are particularly vulnerable to the adverse effects of climate change. The AF is financed with a share of proceeds from CDM project activities and other sources of funding. The share of proceeds amounts to 2 per cent of certified emission reductions issued for a CDM project activity.
108. The AF is supervised and managed by the Adaptation Fund Board (AFB). The AFB is composed of 16 members and 16 alternates and meets at least twice a year.
109. Through decisions 13/CMA.1 and 1/CMP.14, it was decided that the AF shall serve the Paris Agreement under the CMA with respect to all Paris Agreement matters, effective 1 January 2019. Parties also decided that, once the share of proceeds becomes available under Article 6, paragraph 4, of the Paris Agreement, the AF shall no longer serve the Kyoto Protocol. Furthermore, Parties decided that the AF shall continue to receive the share of proceeds, if available, from activities under Articles 6, 12 and 17 of the Kyoto Protocol.
110. CMP 14 requested the SBI to consider the matter of ensuring that developing country Parties and developed country Parties that are Parties to the Paris Agreement are eligible for membership on the AFB and to forward a recommendation to CMP 15.<sup>64</sup> SBI 51 agreed that consideration would continue at SBI 52.<sup>65</sup>
111. As indicated in paragraph 29 d. above, Parties may wish to continue consideration of this sub-item at a subsequent session.

#### **Fourth review of the Adaptation Fund**

*(Sub-item 14(b) of the provisional agenda)*

112. CMP 13 requested the SBI to initiate the fourth review of the AF, in accordance with the terms of reference contained in the annex to decision 1/CMP.12, or as amended, and to report back to the governing body to be convened in November 2021.<sup>66</sup>

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<sup>62</sup> See decision 14/CP.22, para. 9.

<sup>63</sup> See decision 14/CP.24, para. 9.

<sup>64</sup> Decision 1/CMP.14, para. 5.

<sup>65</sup> FCCC/SBI/2019/20, para. 74.

<sup>66</sup> Decision 2/CMP.13, para. 9.

113. Based on this mandate and following the continuous guidance of the Bureau to minimize delays and maximize progress, I held informal consultations on this matter on 14 April 2021<sup>67</sup> to hear Parties' views on how to advance work. Following their guidance, I invited them and admitted observer organizations to make voluntary submissions<sup>68</sup> on their views on the terms of reference of the fourth review of the AF, based on the terms of reference from the previous review.
114. In May–June 2021, the SBI conducted work informally on the terms of reference of the fourth review of the AF and I prepared, with the assistance of the co-facilitators, an informal note<sup>69</sup> to capture progress.
115. I propose to set up informal consultations on this sub-item and to invite a pair of co-facilitators to assist me in this work during the session. To advance work on this matter, I encourage Parties to build on earlier progress, including as reflected in the informal note referred to in paragraph 114 above, to produce, in a swift manner, a first draft of conclusions and to reach an agreement in a few negotiation sessions. Parties may also wish to engage constructively in a more informal set-up.
116. I am aware of the high number of finance-related items to be considered by Parties in Glasgow and I commend all stakeholders for their continuous engagement and efforts in searching for common ground. I expect that, owing to the efforts already made by Parties on this sub-item, the SBI will be in a position to forward a draft decision on the terms of reference of the fourth review of the AF to the CMP, which will allow the fourth review to be completed at the next session of the CMP.

### **Matters relating to capacity-building**

*(Item 15 of the provisional agenda)*

#### **Capacity-building under the Convention**

*(Sub-item 15(a) of the provisional agenda)*

117. COP 7 launched two frameworks guiding capacity-building, one dedicated to developing countries<sup>70</sup> and the other dedicated to countries with economies in transition.<sup>71</sup> The SBI regularly monitors and reviews progress on the implementation of the frameworks and forwards its recommendations to the COP.
118. The COP has already completed four reviews of the implementation under the Convention of the framework for capacity-building in countries with economies in transition, and COP 23 requested the SBI to initiate the fifth review with a view to it being completed at COP 26.<sup>72</sup>
119. In May–June 2021, the SBI conducted work informally on matters related to capacity-building, and I prepared, with the assistance of the co-facilitators, an informal note<sup>73</sup> to capture progress.
120. I propose to set up informal consultations on this sub-item and to invite a pair of co-facilitators to assist me in this work during the session. To conclude work on this matter, I invite Parties to constructively engage in the informal consultations and finalize the consideration of the fifth review referred to in paragraph 118 above. I also encourage Parties to build on earlier progress, including as reflected in the informal note referred to in paragraph 119 above, to produce, in a swift manner, a first draft of decisions and to reach an agreement in a few negotiation sessions. Parties may also wish to engage constructively in a more informal set-up. I expect that Parties will reach a substantive agreement on this matter in a timely manner.

#### **Capacity-building under the Kyoto Protocol**

*(Sub-item 15(b) of the provisional agenda)*

121. In 2005, Parties to the Kyoto Protocol decided that the two frameworks referred to in paragraph 117 above are also applicable to the implementation of the Protocol. CMP 12 completed the third review of the implementation of the framework for capacity-building in developing countries under the Kyoto Protocol and decided that the SBI would initiate the fourth review with a view to it being completed in November 2021.<sup>74</sup> CMP 13 completed the fourth review of the implementation of the framework for capacity-building in countries with economies in

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<sup>67</sup> <https://unfccc.int/process-and-meetings/bodies/subsidiary-bodies/subsidiary-body-for-implementation-sbi/sbi-chair-lobby#eq-3>.

<sup>68</sup> Type “voluntary submissions 2021” in the search bar of <https://www4.unfccc.int/sites/submissionsstaging/Pages/Home.aspx>.

<sup>69</sup> Available at <https://unfccc.int/documents/279083>.

<sup>70</sup> As per decision 2/CP.7.

<sup>71</sup> As per decision 3/CP.7.

<sup>72</sup> Decision 17/CP.23, para. 4.

<sup>73</sup> Available at <https://unfccc.int/documents/279044>.

<sup>74</sup> Decision 6/CMP.12, para. 6.

transition under the Kyoto Protocol and requested the SBI to initiate the fifth review with a view to it being completed at CMP 16.<sup>75</sup>

122. In May–June 2021, the SBI conducted work informally on matters related to capacity-building and I prepared, with the assistance of the co-facilitators, an informal note<sup>76</sup> to capture progress.

123. I propose to set up informal consultations on this sub-item and to invite a pair of co-facilitators to assist me in this work during the session. To conclude work on this matter, I invite Parties to constructively engage in the informal consultations and finalize the consideration of the fourth and fifth reviews referred to in paragraph 121 above. I also encourage Parties to build on earlier progress, including as reflected in the informal note referred to in paragraph 122 above, to produce, in a swift manner, a first draft of decisions and to reach an agreement in a few negotiation sessions. Parties may also wish to engage constructively in a more informal set-up. I expect that Parties will reach a substantive agreement on this matter in a timely manner.

### **Annual technical progress report of the Paris Committee on Capacity-building (for 2020 and 2021)**

*(Sub-item 15(c) of the provisional agenda)*

124. Established at COP 21,<sup>77</sup> the Paris Committee on Capacity-building addresses current and emerging gaps and needs in implementing and further enhancing capacity-building in developing countries. In 2019, the CMA decided that the PCCB shall also serve the Paris Agreement.<sup>78</sup>

125. The 4<sup>th</sup> and 5<sup>th</sup> meetings of the PCCB were convened virtually and discussed, inter alia, progress in the work of the PCCB, the 2020 and 2021 technical progress reports to the COP and the CMA, and the outcomes of the 10<sup>th</sup> meeting of the Durban Forum on capacity-building (the annual in-session Durban Forum is thematically aligned with the annual focus area of the PCCB, which in 2021 is building capacity to facilitate the coherent implementation of NDCs in the context of national development plans). I would like to commend the efforts and work of the PCCB.

126. I propose to set up informal consultations on this sub-item and to invite a pair of co-facilitators to assist me in this work during the session. I invite Parties to constructively engage in the informal consultations and to finalize, in a few informal consultations, the consideration of the annual technical progress reports of the PCCB for 2020 and 2021, including its recommendations to the COP and the CMA. I expect that the SBI will be in a position to forward a draft decision to the COP and the CMA in a timely manner.

### **Matters relating to the forum on the impact of the implementation of response measures serving the Convention, the Kyoto Protocol and the Paris Agreement\***

*(Item 16 of the provisional agenda)*

127. The forum on the impact of the implementation of response measures, convened jointly under the SBSTA and the SBI, is implementing the six-year workplan of the forum and its Katowice Committee of Experts on the Impacts of the Implementation of Response Measures (KCI) (2020–2025).<sup>79</sup> The implementation of the workplan is linked to the progress of the KCI. As at 30 September, the KCI had completed implementation of one activity and is progressing on other activities mandated for 2020–2021. The next meeting of the KCI is scheduled to be held in two parts, from 11 to 13 and 28 to 30 October 2021, in conjunction with the sessions in Glasgow. I would like to commend the efforts and work of the KCI. To minimize delays and maximize progress, the SBSTA Chair and I are planning to hold two additional informal events on 18 and 21 October 2021 in support of the implementation of the six-year workplan.<sup>80</sup>

128. In May–June 2021, the SBI and the SBSTA conducted work informally on matters relating to the forum. The SBSTA Chair and I prepared, with the assistance of the co-facilitators, an informal note to capture progress.<sup>81</sup>

129. The SBSTA Chair and I propose to set up a joint contact group on this item, in accordance with the modalities of the forum, and to invite a pair of co-chairs to assist us in this work during the sessions. We look forward to the forum making progress on implementing activities in line with the mandates for the SB 52–55 and

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<sup>75</sup> Decision 4/CMP.13, para. 4.

<sup>76</sup> Available at <https://unfccc.int/documents/279044>.

<sup>77</sup> Decision 1/CP.21, para. 71.

<sup>78</sup> Decision 3/CMA.2, para. 3.

<sup>79</sup> Decision 4/CP.25, annex II.

<sup>80</sup> <https://unfccc.int/process-and-meetings/bodies/subsidiary-bodies/sbsta-chair-lobby#eq-4>.

<sup>81</sup> Available at <https://unfccc.int/documents/279078>.

considering the annual report of the KCI, as well as preparing its synthesis report as a contribution to the global stocktake technical assessment that starts in June 2022. We encourage Parties to build on the progress already made, including as reflected in the informal note referred to in paragraph 128 above, and to forward their recommendations for consideration by the subsidiary bodies with a view to the subsidiary bodies recommending actions to the COP, the CMP and the CMA.

### **Gender and climate change**

*(Item 17 of the provisional agenda)*

130. Parties have recognized the importance of involving women and men equally in UNFCCC processes and in the development and implementation of national climate policies that are gender-responsive by establishing a dedicated agenda item under the Convention to address issues of gender and climate change and by including overarching text in the Paris Agreement.
131. The workshops on the role of national gender and climate change focal points and on gender integration in national climate policies were held virtually – regionally and during the Climate Dialogues. As part of the gender action plan activity A4, Parties, relevant organizations and the research community were invited to make submissions on the dimensions and examples of the gender-differentiated impacts of climate change, the role of women as agents of change and opportunities for women. I would like to commend Parties and other stakeholders for their constructive and relentless efforts to advance the implementation of the gender action plan in the difficult global context.
132. The second part of the workshop on the role of national gender and climate change focal points will be organized in Glasgow so that Parties can be further informed and finalize their recommendations on this matter.
133. I propose to set up informal consultations on this item and to invite a pair of co-facilitators to assist me in this work during the session. I invite Parties to continue to constructively engage in the informal consultations and to finalize, in a few informal consultations, the recommendations on this matter to be forwarded by the SBI for consideration and adoption by the COP.
134. In addition, the COP will be invited to refer to the SBI the annual gender composition report and the biennial synthesis report on the progress of constituted bodies in integrating gender considerations into their respective workstreams. Finally, I would like to remind Parties that COP 25<sup>82</sup> decided to conduct an intermediate review of the progress of implementation of the activities contained in the gender action plan at SBI 56. Parties may wish to provide guidance as to how the SBI shall conduct the intermediate review. I expect that both these matters will be considered by Parties in the informal consultations referred to in paragraph 133 above and that appropriate recommendations will be included in the decision to be forwarded by the SBI for consideration and adoption by the COP.

### **Matters related to Action for Climate Empowerment**

*(Item 18 of the provisional agenda)*

#### **Review of the Doha work programme on Article 6 of the Convention**

*(Sub-item 18(a) of the provisional agenda)*

135. Article 6 of the Convention stipulates the commitment of Parties to promote education, training, public awareness, access to information, public participation and international cooperation on climate change. Similarly, Article 12 of the Paris Agreement recognizes the importance of climate change education, training, public awareness, public participation and public access to information, and asks Parties to cooperate in taking appropriate measures.
136. COP 18 adopted the eight-year Doha work programme on Article 6 of the Convention and decided that the programme would be reviewed in 2020.<sup>83</sup> COP 25 requested the SBI, at SBI 52, to launch the review of the implementation of the Doha work programme and, following the review, to consider future work to enhance the implementation of Article 6 of the Convention and Article 12 of the Paris Agreement and to prepare a draft

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<sup>82</sup> Decision 3/CP.25, para. 10.

<sup>83</sup> Decision 15/CP.18, paras. 1–2.

decision for consideration and adoption at COP 26.<sup>84</sup> A number of actions and steps requested by the COP and needed for the SBI to undertake the review were completed in 2020.<sup>85</sup>

137. I convened a series of activities virtually between 17 March and 19 May 2021 on the review of the Doha work programme and future work to enhance the implementation of Action for Climate Empowerment (ACE) under Article 6 of the Convention and Article 12 of the Paris Agreement.<sup>86</sup> I would like to commend Parties and other stakeholders for their constructive and relentless efforts to advance the implementation of the Doha work programme in the difficult global context.

138. In May–June 2021, the SBI conducted work informally on the review of the Doha work programme and I prepared, with the assistance of the co-facilitators, an informal note<sup>87</sup> to capture progress.

139. I propose to set up informal consultations on this sub-item and to invite a pair of co-facilitators to assist me in this work during the session. To conclude work on this matter, I encourage Parties to build on earlier progress, including as reflected in the informal note referred to in paragraph 138 above, to produce, in a swift manner, a first draft of conclusions and to reach an agreement in a few negotiation sessions. Parties may also wish to engage constructively in a more informal set-up. I expect that the SBI will be in a position to forward a draft decision on the outcome of the review to the COP.

### **Report on activities related to Action for Climate Empowerment (for 2020 and 2021)**

*(Sub-item 18(b) of the provisional agenda)*

140. As part of the review of the Doha work programme, a series of activities has been convened virtually in 2020 and 2021, including the 8<sup>th</sup> Dialogue on ACE. As indicated in paragraph 29 c. above, and as reported in the provisional agenda and annotations, I will invite the SBI to take note of the information provided.

### **Arrangements for intergovernmental meetings**

*(Item 19 of the provisional agenda)*

141. Arrangements for intergovernmental meetings are traditionally considered by the SBI at the first session of the year. The scope of the work under this item covers issues related to the intergovernmental process such as organizational scenarios for the annual COP and preparations for future sessional periods, including the hosts of future sessions of the governing bodies. Making arrangements for intergovernmental meetings also includes looking for opportunities to further enhance the effective engagement of observer organizations. In addition, COP 25 requested SBI 52 to review the approach to admitting observer organizations to the UNFCCC process and to provide any relevant guidance to the secretariat.<sup>88</sup>

142. Since the beginning of 2020, including most recently on 29 April 2021, the SBSTA Chair and I have had the opportunity to engage in several exchanges of views with observers on possible ways to enhance observer engagement. The exchanges provided insights into their views, ideas and expectations on this matter, which helped me guide the informal discussions that took place on this matter in May–June 2021. The informal consultations also drew on information provided in the BR on participation in 2018–2019 by observer organizations in the UNFCCC process,<sup>89</sup> prepared by the secretariat and issued earlier this year. As a result of the informal consultations, I prepared an informal note<sup>90</sup> to capture progress.

143. I propose to set up and chair a contact group to guide discussions under this item, as further detailed in the annotations. With regard specifically to the issue of observer engagement, I encourage Parties to build on earlier progress, including as reflected in the informal note referred to in paragraph 142 above, to produce, in a swift manner, a first draft of conclusions and to reach an agreement in a few negotiation sessions. Parties may also wish to engage constructively in a more informal set-up. I expect that Parties will reach a substantive agreement on this item in a timely manner.

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<sup>84</sup> Decision 15/CP.25, para. 1.

<sup>85</sup> <https://unfccc.int/process-and-meetings/bodies/subsidiary-bodies/sbi-chair-lobby/january-june-2021-activities#eq-1> and <https://unfccc.int/process-and-meetings/bodies/subsidiary-bodies/sbi-chair-lobby#eq-1>.

<sup>86</sup> See <https://unfccc.int/process-and-meetings/bodies/subsidiary-bodies/sbi-chair-lobby/january-june-2021-activities#eq-1>.

<sup>87</sup> Available at <https://unfccc.int/documents/279082>.

<sup>88</sup> FCCC/CP/2019/13, para. 18.

<sup>89</sup> FCCC/SBI/2020/10.

<sup>90</sup> Available at <https://unfccc.int/documents/278488>.

### **Administrative, financial and institutional matters**

*(Item 20 of the provisional agenda)*

144. For this item, I propose to establish a contact group and to invite a chair to assist me in this work. I expect that Parties will reach a substantive agreement on this item in a timely manner. I suggest that Parties first reach an agreement on sub-item 20(b), before moving on to the consideration of the other sub-items, as appropriate. The work of the SBI under this agenda item should result in recommending draft decisions on administrative and financial matters for consideration and adoption by the COP and the CMP.

### **Budget performance for the biennia 2018–2019 and 2020–2021**

*(Sub-item 20(a) of the provisional agenda)*

145. The large amount of outstanding contributions continues to be an issue under the core budget. Pursuant to the UNFCCC financial procedures, contributions to the core budget are due on 1 January of each calendar year. As at 31 August 2021, EUR 10.2 million of the contributions for 2021 were still outstanding. I will invite Parties to consider this sub-item in the contact group referred to in paragraph 144 above, and to take note of the reports on budget performance for the two bienniums, as well as the status of contributions and fees as at 22 October 2021.

### **Programme budget for the biennium 2022–2023**

*(Sub-item 20(b) of the provisional agenda)*

146. The secretariat engaged proactively with Parties on developing the programme budget for the biennium 2022–2023 following a comprehensive process that included:

- (a) Two briefing sessions for groups of Parties, on 26 and 27 November 2020, at which the secretariat presented preliminary information on the proposed programme budget;
- (b) A briefing, based on a comprehensive presentation of the proposed programme budget, that included two live question and answer sessions open to all Parties, convened by me on 24 and 25 March 2021.<sup>91</sup>

147. The Executive Secretary has proposed a programme budget for 2022–2023.<sup>92</sup> In May–June 2021, the SBI conducted work informally on this matter and Parties reached a common understanding of the possible elements of the draft conclusions and decisions thereon. I prepared, with the assistance of the facilitator, an informal note<sup>93</sup> to capture progress. I am encouraged by the constructive engagement of Parties in the discussions, and their willingness to propose a budget that would enable the secretariat to deliver the UNFCCC work programme effectively and efficiently.

148. To conclude work on this matter, I encourage Parties to build on earlier progress, including as reflected in the informal note referred to in paragraph 147 above, at the first meeting of the contact group referred to in paragraph 144 above and to swiftly formalize the common understanding reached in June. I expect that Parties will be in a position to reach an agreement on this sub-item in a timely manner.

### **Audit report and financial statements (for 2019 and 2020)**

*(Sub-item 20(c) of the provisional agenda)*

149. The financial procedures for the COP, its subsidiary bodies and the secretariat require that a final audited statement of accounts for the full financial period be provided to the COP as soon as possible after the accounts for the financial period have been closed. They also stipulate that the accounts and financial management of all funds governed by these financial procedures shall be subject to the internal and external audit process of the United Nations. The United Nations Board of Auditors has audited the financial statements for 2019 and 2020, and the reports are contained in the documents prepared for the session. The secretariat's response to the audit recommendations is contained in the addendum to the relevant document.

150. I will invite the auditors to present their reports when turning to this sub-item in the opening plenary. As indicated in paragraph 29 c. above, and as reported in the provisional agenda and annotations, I will invite the SBI to take note of the information contained in the documents prepared for the session.

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<sup>91</sup> <https://unfccc.int/process-and-meetings/bodies/subsidiary-bodies/subsidiary-body-for-implementation-sbi/sbi-chair-lobby#eq-2>.

<sup>92</sup> See FCCC/SBI/2021/4 and Add.1–2.

<sup>93</sup> Available at <https://unfccc.int/documents/279036>.

### **Other financial and budgetary matters**

*(Sub-item 20(d) of the provisional agenda)*

151. The SBI has regularly considered matters relating to the efficiency and transparency of the budget process since 2016. A document on efforts to further improve the efficiency and transparency of the UNFCCC budget process<sup>94</sup> and a note on standard costs<sup>95</sup> are available on the UNFCCC website. As indicated in paragraph 29 c. above, and as reported in the provisional agenda and annotations, I will invite the SBI to take note of the information contained in the documents prepared for the session. I will also invite Parties to provide guidance on any further steps as appropriate.

### **Continuous review of the functions and operations of the secretariat**

*(Sub-item 20(e) of the provisional agenda)*

152. SBI 21 decided that the SBI would review the functions and operations of the secretariat annually.<sup>96</sup> I will invite the secretariat to present this sub-item, the consideration of which would include the following:

- (a) New organizational structure: I have been informed that the secretariat's new organizational structure is now operational and that, as of 15 September 2021, 120 positions had been advertised, of which 65 recruitments had been completed, including some key positions at the Director and P-5 level.
- (b) Legal status of the secretariat: the secretariat has provided Parties with a background note on its legal status.<sup>97</sup> As indicated therein, the secretariat enjoys legal capacity in Germany in accordance with the agreement concluded between Germany and the United Nations in 1996. In addition, by virtue of various host country agreements concluded between the secretariat and States that have hosted sessions of the COP, the secretariat has derived some benefits of legal personality in those States. However, ambiguity still exists concerning the nature and the legal status of the secretariat under international law. In order for the secretariat to fulfil its mandate and to function effectively, Parties may wish to clarify the legal status of the secretariat under international law.

153. I will invite the SBI to consider the information provided to Parties and to decide on further action, as appropriate.

### **Annual report (for 2019 and 2020)**

*(Sub-item 20(f) of the provisional agenda)*

154. I will invite the secretariat to present this sub-item. Annual reports contribute to improved outreach and provide Parties, the public, the media and non-governmental organizations with information on the UNFCCC activities in the preceding year, including financial performance, in a visually pleasing format. As indicated in paragraph 29 c. above, and as reported in the provisional agenda and annotations, I will invite the SBI to take note of the annual reports for 2019 and 2020.

### **Implementation of the Headquarters Agreement**

*(Sub-item 20(g) of the provisional agenda)*

155. I will invite a representative of the Host Government and the secretariat to provide the SBI with a brief report on any new development in the implementation of the Headquarters Agreement. As indicated in paragraph 29 c. above, and as reported in the provisional agenda and annotations, I will invite the SBI to take note of progress made on this matter.

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<sup>94</sup> See FCCC/SBI/2020/INF.2.

<sup>95</sup> See FCCC/SBI/2020/INF.3.

<sup>96</sup> FCCC/SBI/2004/19, para. 105.

<sup>97</sup> <https://unfccc.int/documents/307285>