

# **General and cross-cutting aspects for the technical expert review under the enhanced transparency framework under the Paris Agreement**

United Nations Framework Convention on Climate Change

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## Abbreviations and Acronyms

Annex I Party	Party included in Annex I to the Convention
BR	biennial report
BTR	biennial transparency report
BUR	biennial update report
CBIT	Capacity-building Initiative for Transparency
CGE	Consultative Group of Experts
CMA	Conference of the Parties serving as the meeting of the Parties to the Paris Agreement
COP	Conference of Parties
CRT	common reporting table
CTF	common tabular format
ETF	enhanced transparency framework
FMCP	Facilitative, Multilateral Consideration of Progress
FREL	forest reference emission level
FRL	forest reference level
FTC	finance, technology and capacity-building
GEF	Global Environment Facility
GHG	greenhouse gas
GSP	Global Support Programme for Preparation of National Communications and Biennial Update Reports by non-Annex I Parties
IAR Process	international assessment and review
ICA Process	international consultation and analysis
ITMO	internationally transferred mitigation outcome
IPCC Guidelines	Intergovernmental Panel on Climate Change
LDC	least developed country
LULUCF	land use, land-use change and forestry
MPGs	modalities, procedures and guidelines for the transparency framework for action and support referred to in Article 13 of the Paris Agreement, set out in the annex to decision 18/CMA.1
MRV	measurement, reporting and verification
NAP	national adaptation plan
NC	national communication
NDC	nationally determined contribution
NIR	national inventory report
non-Annex I Party	Party not included in Annex I to the Convention
PAICC	Paris Agreement Implementation and Compliance Committee
PaM	policies and measures
QA/QC	quality assurance/quality control
REDD+	reducing emissions from deforestation; reducing emissions from forest degradation; conservation of forest carbon stocks; sustainable management of forests; and enhancement of forest carbon stocks
SBSTA	Subsidiary Body for Scientific and Technological Advice
SIDS	Small Island Developing States
TACCC Principles	transparency, accuracy, completeness, consistency and comparability
TER	technical expert review
TERT	technical expert review team
UNFCCC	United Nations Framework Convention on Climate Change
VTR	virtual team room

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## Introduction to the course

### - transparency framework overview

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#### 1.1 Background

The CMA requested the SBSTA to develop a training programme for technical experts participating in the technical expert review (TER).<sup>1</sup>

As part of the new training programme, this overview course aims to familiarize experts with the essential elements of the ETF and the context to help them prepare for the TER. All courses in the training programme will be available online and will include an examination available only for experts included on the UNFCCC roster of experts (RoE).<sup>2</sup>

While this course is aimed at providing the necessary information in a practical format to help you better understand the essential steps and processes of the TER, it is important to remember that relevant decisions and the Paris Agreement remain the authoritative sources of information on the ETF.

#### 1.2 Learning objectives

After completing this course, you will:

- Be able to identify the key elements of the ETF, including the reporting and review provisions defined in the [MPGs](#);
- Be familiar with the essential steps of the TER and the roles and responsibilities of experts during the TER;
- Be able to utilize available tools and templates when conducting the TER in order to apply a consistent approach;
- Understand how the TER relates to reporting and review processes under the Convention and to other processes under the Paris Agreement, including the global stocktake and the Paris Agreement Implementation and Compliance Committee (PAICC);
- Be able to document the review findings clearly in the TER report in accordance with the mandates and requirements of the MPGs.

#### 1.3 Structure of the course

The ETF overview course, which follows the learning objectives set out above, is divided into five lessons (see figure 1.1 below).

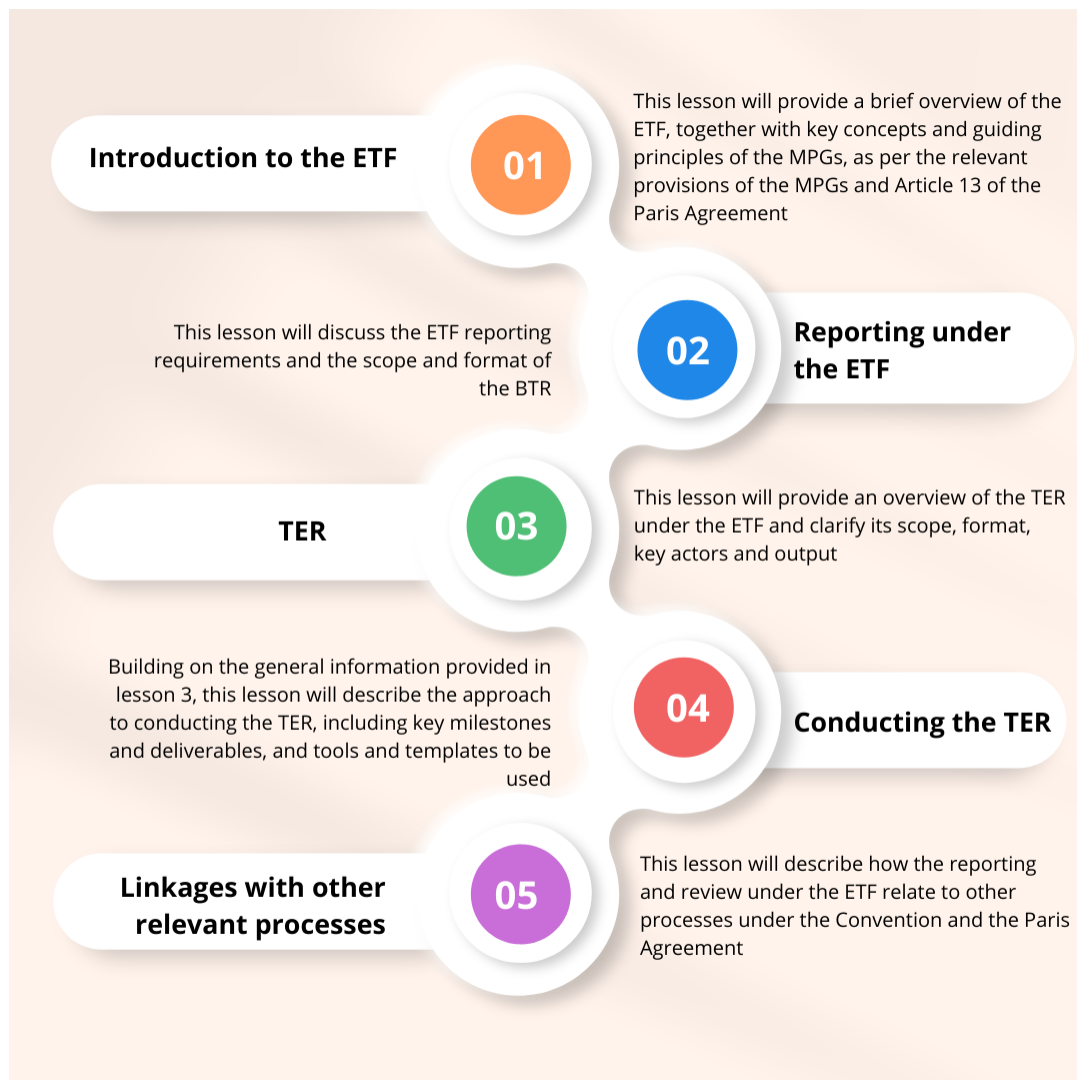
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<sup>1</sup> Decision 18/CMA.1, para. 12(c).

<sup>2</sup> Decision 5/CMA.3, annex VII, paras. 5-8.



Figure 1.1 Five lessons of the ETF overview course



## 1.4 Structure of the enhanced transparency framework training programme

The five lessons in this course will give you an overview of the ETF and its cross-cutting principles. After completing this general ETF overview course, you can also take one or more thematic courses in the ETF training programme, which will help you to acquire the necessary knowledge and skills to participate in the TER under the ETF (see figure 1.2 below).

Figure 1.2 The ETF training programme



The thematic courses provide more detailed guidance on technical elements and approaches to reviewing information on each thematic area, as follows:

- **National GHG inventory reports:** This course focuses on the review of NIRs and is divided into six modules. In addition to a general guidance module covering cross-cutting issues, this course offers a dedicated module for each sector of the GHG inventory (energy; industrial processes and product use; agriculture; land use, land-use change and forestry; and waste);
- **NDCs:** This course provides guidance on how to review information necessary to track a Party's progress in implementing and achieving its NDC under Article 4 of the Paris Agreement and is divided into four sub-courses;
- **FTC:** This course focuses on how to review information on financial, technology development and transfer and capacity-building support provided to developing country Parties under Articles 9–11 of the Paris Agreement.



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## Lesson 1: Introduction

In addition to providing an overview of the ETF, this lesson will help you to understand the key concepts and guiding principles of the ETF. These will be discussed in detail in the other lessons of this training course.

This lesson will enable you to:

- Understand the purpose of the ETF and its MPGs;<sup>3</sup>
- Recognize the key concepts and guiding principles of the ETF.



Time required: 30 minutes

### 1.1 Overview of the ETF

#### 1.1.1 Transparency under the Convention and the Paris Agreement

MRV arrangements under the Convention have played a crucial role in informing Parties' climate change actions and the provision of related support. They also help to build mutual trust and confidence among Parties in relation to achieving the objectives of the Convention.<sup>4</sup>

Parties to the Convention are required to submit NCs to the COP every four years to report on the implementation of their commitments under the Convention.

The landmark [Cancun Agreements](#), reached in 2010, took the transparency arrangements to the next level. In addition to their NCs, Parties agreed to share updates on climate actions and support every two years.

Parties also established two separate processes to consider the information reported biennially: the IAR process for developed country Parties and the ICA process for developing country Parties.

Building on the experience and lessons learned from the existing arrangements, Parties decided to further advance the transparency arrangements by establishing an ETF under the Paris Agreement.

#### 1.1.2 The Paris Agreement and the ETF

Bringing the two separate processes of IAR and ICA together, the ETF is a common framework applicable to all Parties, with specific flexibility provisions provided to developing country Parties that need it in the light of their capacities in its implementation.

The ETF has two main purposes:

- With respect to climate action, to provide a clear understanding thereof in the light of the objective set out in Article 2 of the Convention<sup>4</sup>, including clarity and tracking of progress towards achieving Parties' individual NDCs under Article 4 of the Paris Agreement, and

<sup>3</sup> Decision 18/CMA.1.

<sup>4</sup> Article 2 of the UNFCCC states: "The ultimate objective of this Convention and any related legal instruments that the Conference of the Parties may adopt is to achieve, in accordance with the relevant provisions of the Convention, stabilization of greenhouse gas concentrations in the atmosphere at a level that would prevent dangerous anthropogenic interference with the climate system."

*The MPGs require all Parties to submit BTRs every two years, with the first BTRs to be submitted by 31 December 2024 at the latest.*

Parties' adaptation actions, to inform the global stocktake process of the Paris Agreement;<sup>5</sup>

- In relation to support for climate action, to provide clarity on the support provided and received by relevant individual Parties in the context of climate actions, and to provide an overview of aggregate financial support provided, to inform the global stocktake of the Paris Agreement.<sup>6</sup>

In line with these purposes, Article 13 of the Paris Agreement goes on to outline the core elements of the ETF, which include reporting, the TER and the FMCP.

Subsequent lessons in this course will provide further information on each of these elements and explain how the TER and FMCP feed into the other processes under the Paris Agreement.

### **1.1.3 Core elements of the ETF**

On the basis of the guidance provided in the Paris Agreement, Parties elaborated the MPGs for implementing the ETF<sup>7</sup> in December 2018.

The MPGs require all Parties to submit BTRs every two years, with the first BTRs to be submitted by 31 December 2024 at the latest.<sup>8</sup> The LDCs and SIDS may submit this information at their discretion.<sup>9</sup>

Parties to the Paris Agreement are expected to provide in their BTRs information including:

- a national GHG inventory;
- information necessary to track progress in implementing and achieving their NDCs;
- information on climate change impacts and adaptation;
- financial, technology transfer and capacity-building support provided to developing country Parties and
- financial, technology transfer and capacity-building support needed and received, as relevant.<sup>10</sup>

Submission of a BTR will initiate the TER process under the ETF.<sup>11</sup>

<sup>5</sup> Article 13, para. 5, of the Paris Agreement.

<sup>6</sup> Article 13, para. 6, of the Paris Agreement.

<sup>7</sup> Decision 18/CMA.1, annex.

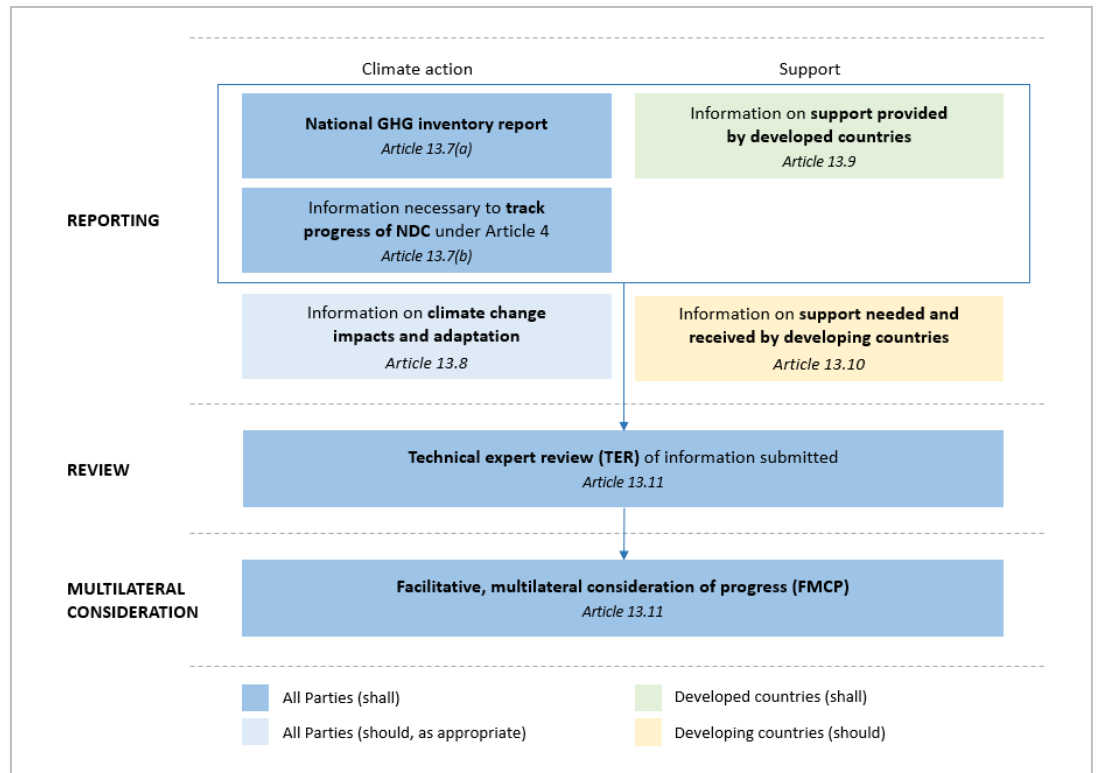
<sup>8</sup> Decision 18/CMA.1, para 3.

<sup>9</sup> Decision 18/CMA.1, para 4.

<sup>10</sup> Decision 18/CMA.1, annex, para 10.

<sup>11</sup> Decision 18/CMA.1, annex, para. 162 (a).

Figure 1.3 Outline of the core elements of the ETF under the Paris Agreement



**Practice activity 1.1**

Please indicate whether the following statements are true or false:

a. The ETF is primarily aimed at increasing transparency of climate action and does not address transparency of climate support.	True/False
b. Parties are not required to report on adaptation under the ETF.	True/False
c. The ETF builds on the experience gained and lessons learned from the existing transparency arrangements under the Convention, including ICA and IAR.	True/False



### Practice activity 1.2

Please complete the following sentences with the words on the right:

a. [            ] shall provide a NIR of anthropogenic emissions by sources and removals by sinks of GHGs.	<p>A. all Parties</p> <p>B. developed country Parties</p> <p>C. developing country Parties</p>
b. [            ] shall provide information on financial, technology development and transfer and capacity-building support provided and mobilized.	
c. [            ] should provide information on financial, technology development and transfer and capacity-building support needed and received.	
d. [            ] shall participate in FMCP with respect to the implementation and achievement of their NDCs.	

## 1.2 Key concepts and guiding principles

The ETF is guided by a set of principles outlined in the Paris Agreement<sup>12</sup> and the MPGs.<sup>13</sup> These principles apply to all elements of the ETF, and you should consider them when conducting the TER of any thematic area.

### 1.2.1 Respecting national sovereignty and avoiding undue burden

The ETF is to be implemented in a facilitative, non-intrusive and non-punitive manner, respecting Parties' national sovereignty.<sup>14</sup> The review process under the ETF should not involve political judgments or entail discussions on the adequacy or appropriateness of a Party's NDC, domestic actions or support provided.<sup>15</sup>

In addition, the ETF is aimed at avoiding undue burden being placed on Parties and the secretariat and the duplication of work with other arrangements and processes under the Convention and the Paris Agreement.<sup>16</sup> You will learn more about how this principle is implemented in lesson 5 of this course (*Linkages with other relevant processes*).

### 1.2.2 Building on and enhancing the transparency arrangements under the Convention

As discussed in section 1 of this lesson, the ETF builds on the existing transparency arrangements under the Convention, including the IAR and ICA processes, and supersedes them for Parties to the Paris Agreement. Figure 1.4 summarizes how the ETF relates to the existing processes under the Convention.

The ETF is designed to ensure that Parties maintain at least the frequency and quality of reporting in accordance with their respective obligations under the Convention.<sup>17</sup> The ETF represents Parties' collective efforts to enhance the transparency arrangements, including reporting, review and

<sup>12</sup> Article 13, of the Paris Agreement.

<sup>13</sup> Decision 18/CMA.1, annex. para. 3.

<sup>14</sup> Decision 18/CMA.1, annex. para. 3 (a).

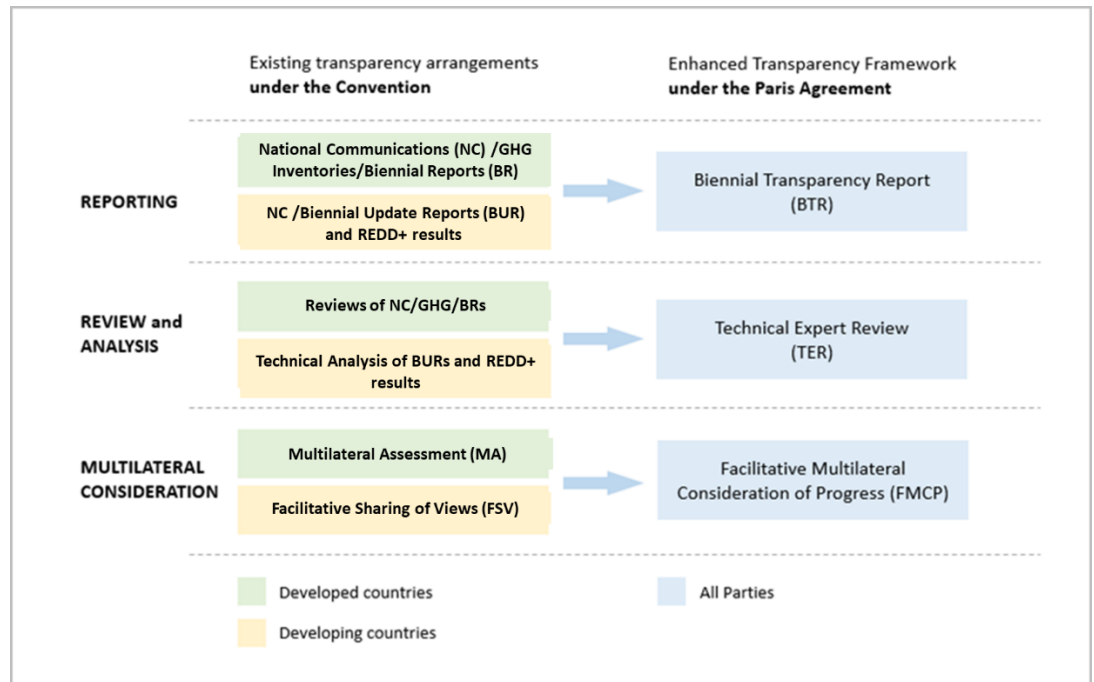
<sup>15</sup> Decision 18/CMA.1, annex. para. 149.

<sup>16</sup> Decision 18/CMA.1, annex. para. 3 (e).

<sup>17</sup> Decision 18/CMA.1, annex. para. 3 (f).

multilateral consideration. While many of the requirements under the ETF are familiar to Parties, some aspects require greater efforts compared to the existing systems, especially for developing country Parties. The 'enhanced' features of the ETF will be discussed in greater detail in the remaining lessons in this course.

Figure 1.4 Transitioning to the ETF



**Practice activity 1.3**

Please indicate whether the following statements are true or false:

a. Compared with the MRV arrangements under the Convention, the frequency of reporting is reduced under the ETF.	True/False
b. Developing country Parties to the Paris Agreement are expected to submit both BURs and BTRs under the ETF.	True/False
c. Review of BRs and technical analysis of BURs will be superseded by the TER under the ETF for Parties to the Paris Agreement.	True/False

### 1.2.3 Providing flexibility to developing country Parties that need it

The ETF provides flexibility to developing country Parties that need it in the light of their capacities.<sup>18</sup> This approach recognizes that each Party has a different starting point in the transition to the ETF.

Under the ETF, a developing country Party can determine whether it wishes to apply a flexibility provision available in the light of its capacity constraint(s) relating to a particular reporting requirement.

When applying a flexibility provision, the developing country Party must clearly indicate the relevant provision under the ETF and clarify its related capacity constraints. Developing country Parties can simultaneously apply several flexibility provisions to address a particular capacity constraint. The Party must also determine estimated time frames for improving the capacity constraints and provide relevant information.

When a developing country Party applies flexibility available for a provision of the MPGs, the TER team must not review why the Party decided to apply such flexibility or whether it has the capacity to implement that provision without flexibility.<sup>19</sup> You will learn more about how developing country Parties are supposed to implement the flexibility available for reporting and review in subsequent lessons in this course.

### 1.2.4 Promoting transparency, accuracy, completeness, consistency and comparability

In reporting and review under the ETF, five key concepts (transparency, accuracy, completeness, consistency and comparability – often called the ‘TACCC’ principles) should be promoted.<sup>20</sup> While the MPGs clearly state that in the context of GHG inventories, these principles shall be defined in accordance with the definitions provided in the 2006 IPCC Guidelines, they do not specify how these principles should be defined in the context of other thematic areas. However, their meaning can be understood in the context of review practices in the existing MRV processes and relevant COP decisions, as summarized in the table below.

**Table 1.1 Defining the transparency, accuracy, completeness, consistency and comparability principles**

Transparency	Transparency is achieved when the experts are able to clearly understand why and how the Party reached its conclusions or results. This requires Parties to provide clear, factual and objective information, including on the sources, assumptions and methodologies used.
Accuracy	Accuracy refers to the correctness, credibility and reliability of the reported information. In the context of the GHG inventory, emissions and removals should be neither overestimated nor underestimated as far as can be judged, and uncertainties should be reduced as much as possible.

<sup>18</sup> Decision 18/CMA.1, annex. para. 3 (c).

<sup>19</sup> Decision 18/CMA.1, annex. para. 6.

<sup>20</sup> Decision 18/CMA.1, annex. para. 3 (d).



Completeness	Ensuring completeness requires that no mandatory reporting element, or category in the context of the GHG inventory, is excluded. In the context of the GHG inventory, it also means complete geographic coverage within the scope of the national GHG inventory. If a Party cannot report <i>completely</i> on a mandatory element for any reason, it should be able to explain the omission or partial reporting.
Consistency	Consistency is achieved when the information does not contradict or imply contradictions with other elements reported. In the context of the GHG inventory, consistency means that inventory estimates are produced in such a way that differences in the results between years and categories reflect real differences in emissions. This involves using, as far as possible, the same methodologies for the base year and all subsequent years and consistent data sets in estimating emissions or removals from sources and sinks.
Comparability	To ensure comparability, Parties should use the methodologies and formats agreed by the COP and CMA to report the information required.

Please note that as per the MPGs,<sup>21</sup> the TER includes a *review of the consistency of the information* submitted under Article 13, paragraphs 7 and 9, of the Paris Agreement with the MPGs, taking into account the flexibility available if the developing country Party needs it in the light of its capacities. However, the MPGs do not specify how this review should be performed, including the principles that should be used to identify issues with reporting. As such, in accordance with the practices followed in the existing MRV processes (reviews of NCs, BRs and GHG inventories of Annex I Parties), the ETF training programme suggests using the entire set of TACCC principles for identifying issues when reviewing the GHG inventory and using only the principles of completeness and transparency for identifying issues when reviewing the other thematic areas.

#### 1.2.5 Avoiding double counting and ensuring environmental integrity

It is critically important to avoid double counting in order to ensure environmental integrity of climate action and support.<sup>22</sup> If the same unit of emissions, emission reduction or support is recorded twice, it will likely undermine the accuracy and transparency of the information reported by the Parties.

Double counting can occur in different contexts, such as when a Party pursues voluntary cooperation under Article 6 of the Paris Agreement and reports on the ITMOs; reports information on support provided and mobilized; or includes the same GHG emissions or removals in its inventory more than once. You will learn more on double counting in the thematic courses of this training programme.

#### 1.2.6 Facilitating improvement over time

Under the ETF, Parties must maintain and improve the quality of reporting under the Convention. In addition, the reporting and review processes under the ETF are aimed at facilitating continuous improvement over time<sup>23</sup> (see figure 1.5), which is why Parties are expected to identify and report

<sup>21</sup> Decision 18/CMA.1, annex. para. 146 (a).

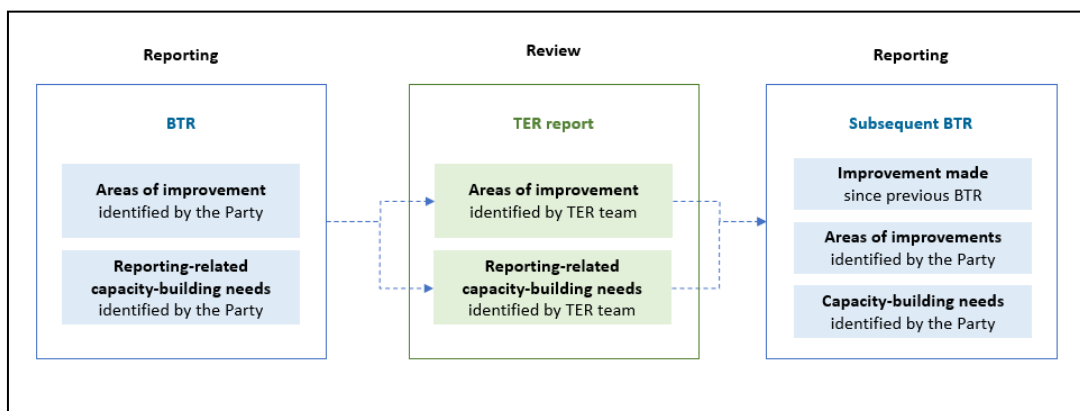
<sup>22</sup> Decision 18/CMA.1, annex. para. 3 (g-h).

<sup>23</sup> Decision 18/CMA.1, annex. para. 3 (b).

in their BTRs areas of improvement and capacity-building needs for reporting under the ETF.<sup>24</sup> As part of the TER, the TER team will also identify areas of improvement related to ETF implementation for all Parties and help developing country Parties that require assistance in identifying capacity-building needs in the light of their capacities.<sup>25</sup>

By identifying areas of improvement and capacity-building needs, the TER team can assist Parties in improving their reporting for subsequent rounds of reporting. Parties are expected to report in subsequent BTRs on how they are addressing or intend to address areas of improvement that they or the TER team have identified. While the information reported by a Party on its improvement plans and priorities is not subject to review, it can inform discussions on areas of improvement and capacity-building needs during the TER.

Figure 1.5 Facilitating improvement over time



 **Practice activity 1.4**

Please complete the following sentences with the words on the right:

a. The ETF provides [        ] to developing country Parties that need it in the light of their capacities.	A. flexibility  B. transparency  C. self-determination
b. Developing country Party's choice to apply flexibility is through [        ]. This means that each developing country Party can determine whether it wishes to apply, when available, the specific flexibility provision when implementing a reporting requirement.	
c. [        ] is achieved when the experts are able to clearly understand why and how a Party reached its conclusion or results.	

<sup>24</sup> Decision 18/CMA.1, annex. para. 7.

<sup>25</sup> Decision 18/CMA.1, annex. para. 162 (d).



### Practice activity 1.5

Please indicate whether the following statements are true or false:

a. For all Parties, the TER involves identifying areas of improvement, and for those developing country Parties that need it in the light of their capacities, also provides assistance in identifying capacity-building needs for reporting.	True/False
b. Developed country Parties can also apply flexibility provisions under the ETF, as necessary.	True/False
c. Double counting only occurs in relation to voluntary cooperation under Article 6 of the Paris Agreement.	True/False

### 1.3 Self-check quiz

1. Which of the following is NOT part of the ETF outlined in the Paris Agreement?
  - A. Technical Expert Review (TER).
  - B. Facilitative, Multilateral Consideration of Progress (FMCP).
  - C. National Inventory Report (NIR).
  - D. International Assessment and Review (IAR).
2. Which of the following is NOT a guiding principle of the ETF?
  - A. Promoting transparency, accuracy, completeness, consistency and comparability.
  - B. Ensuring the avoidance of double counting.
  - C. Assessing the appropriateness of a Party's domestic policies and measures.
  - D. Providing flexibility to developing country Parties that need it in the light of their capacities.
3. Which of the following statements is correct with regard to how flexibility is applied under the ETF?
  - A. Flexibility is applied only to the LDCs and SIDS under the ETF.
  - B. TER teams determine how to apply flexibility for a specific reporting provision.
  - C. Parties do not have to clarify where or why they applied flexibility in reporting.
  - D. The TER team does not assess whether a Party has the capacity to implement a specific reporting provision without flexibility.

## 1.4 Lesson summary

- Building on the existing transparency arrangements under the Convention, the ETF creates a common transparency framework applicable to all Parties;
- The ETF aims to provide a clear understanding of both climate action and related support;
- The ETF is guided by several principles, including:
  - Respecting national sovereignty and avoiding undue burden;
  - Building on and enhancing the transparency arrangements under the Convention;
  - Providing flexibility to developing country Parties that need it in the light of their capacities;
  - Promoting transparency, accuracy, completeness, consistency and comparability;
  - Avoiding double counting and ensuring environmental integrity;
  - Facilitating improved reporting and transparency over time.

## 1.5 Answer key



### Practice activity 1.1

- a. **The correct answer is false.** Article 13, paragraph 6, of the Paris Agreement clearly outlines the purpose of the ETF in relation to the transparency of support.
- b. **The correct answer is false.** Article 13, paragraph 8, of the Paris Agreement clearly indicates that each Party should provide information related to climate change impacts and adaptation.
- c. **The correct answer is true.** In accordance with Article 13, paragraph 3, of the Paris Agreement, **the ETF builds on the experience gained and lessons learned from the existing transparency arrangements under the Convention, including ICA and IAR.**



### Practice activity 1.2

- a. **[A. All Parties]** shall provide an NIR of anthropogenic emissions by sources and removals by sinks of GHGs.
- b. **[B. Developed country Parties]** shall provide information on financial, technology development and transfer and capacity-building support provided and mobilized.
- c. **[C. Developing country Parties]** should provide information on financial, technology development and transfer and capacity-building support needed and received.
- d. **[A. All Parties]** shall participate in FMCP with respect to the implementation and achievement of their NDCs.



### Practice activity 1.3

- a. **The correct answer is false.** Under the ETF, Parties must maintain and build on the quality of reporting under the Convention. The frequency of biennial reporting is maintained for all Parties under the ETF, as the BTR supersedes the BUR and BR.

- b. **The correct answer is false.** COP 24 decided that the final BURs shall be those that are submitted to the secretariat no later than 31 December 2024.<sup>26</sup> After submitting their first BTRs by 31 December 2024 at the latest, all Parties are required to submit BTRs every two years.
- c. **The correct answer is true.** As per the Paris Agreement and the MPGs, the review process under the ETF will supersede the existing arrangements under the Convention.



#### Practice activity 1.4

- a. The ETF provides [**A. flexibility**] to developing country Parties that need it in the light of their capacities.
- b. Developing country Party's choice to apply flexibility is through [**C. self-determination**]. This means that each developing country Party can determine whether it wishes to apply flexibility to implement a specific reporting provision.
- c. [**B. Transparency**] is achieved when the experts are able to clearly understand why and how a Party reached its conclusion or results.



#### Practice activity 1.5

- a. **The correct answer is true.** By identifying areas of improvement and capacity-building needs, the TER team can assist Parties in improving their reporting for subsequent rounds of reporting.
- b. **The correct answer is false.** The ETF provides flexibility to developing country Parties that need it in the light of their capacities.
- c. **The correct answer is false.** Double counting can occur in different contexts, including when a Party reports information on support provided and mobilized or includes the same GHG emissions or removals in its inventory more than once.

#### Self-check quiz

1. **The correct answer is D.** IAR is a process established under the Convention to review the BRs and NCs of developed country Parties. The existing transparency arrangements under the Convention, including IAR, are superseded by the ETF under the Paris Agreement.
2. **The correct answer is C.** As per the principles outlined in the Paris Agreement and the MPGs, the ETF is implemented in a manner that is facilitative, non-intrusive and non-punitive, respecting the national sovereignty of the Parties. The review process under the ETF should not involve political judgments or entail discussions on the adequacy or appropriateness of a Party's NDC, domestic actions or support provided.
3. **The correct answer is D.** Flexibility is provided to developing country Parties that need it in the light of their capacities, including the LDCs and SIDS. The application of flexibility is to be self-determined by Parties, not by TER teams. When applying flexibility, Parties are required to clearly indicate the relevant ETF provision and clarify their related capacity constraints.

<sup>26</sup> Decision 18/CMA.1, para 3.




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<https://live.staticflickr.com/>

## Lesson 2: Reporting under the ETF

### 2.1 Introduction

This lesson provides an overview of reporting under the ETF, as outlined in the MPGs, and will introduce you to and enable you to explain:

- The transition from MRV under the Convention to the ETF under the Paris Agreement;
- The format and scope of the BTR and other related reports;
- The information to be reported in the BTR, such as the NIR and REDD+ technical annex, including the application of flexibility provisions, where applicable;
- Electronic reporting through CRTs and CTFs.

 Time required: 60 minutes

### 2.2 Reporting under the Convention and bridging to the ETF

Parties to the Convention are required to submit to the COP every four years a National Communication to communicate their progress in implementing the Convention.<sup>27</sup> In addition, in accordance with the MRV arrangements under the Convention, developed and developing country Parties biennially submit updated information in their BRs and BURs, respectively. Both reports are aimed at increasing the transparency of reporting on Parties' progress in the implementation of the Convention. Developed country Parties must submit an annual GHG inventory.

The ETF, which was established under the Paris Agreement to ensure the transparency of mitigation, adaptation actions and support needed and received, builds on and enhances the MRV arrangements under the Convention. For the Parties to the Paris Agreement, the MPGs of the ETF supersede the MRV system under the Convention,<sup>28</sup> with the BTR replacing the BR and BUR. Developed country Parties to the Paris Agreement must submit their final BRs no later than 31 December 2022, while developing country Parties must submit their final BURs by 31 December 2024. All Parties must submit their first BTR no later than 31 December 2024; LDCs and SIDS may submit at their discretion. However, both developing and developed country Parties to the Convention and the Paris Agreement must continue to submit an NC, while developed country Parties to the Convention and the Paris Agreement must submit an annual GHG inventory. In addition, developing country Parties may voluntarily submit with the BTR a technical annex containing the results of the implementation of REDD+ activities in the context of results-based payments.<sup>29</sup> Figure 2.1 summarizes the reporting obligations for Parties to the Convention and the Paris Agreement.

<sup>27</sup> Decision 2/CP.17, para. 14, for Annex I Parties and decision 1/CP.16, para. 60(b), for non-Annex I Parties.

<sup>28</sup> Decision 1/CP.16.

<sup>29</sup> Decision 14/CP.19.

Since Parties to the Convention that are not Parties to the Paris Agreement will remain subject to reporting obligations under Articles 4 and 12 of the Convention existing MRV arrangements under the Convention will continue to apply.

Figure 2.1 Reporting obligations for parties to the Convention and the Paris Agreement



Since Parties to the Convention that are not Parties to the Paris Agreement will remain subject to reporting obligations under Articles 4 and 12 of the Convention and existing MRV arrangements under the Convention will continue to apply,<sup>30</sup> the Annex I Parties will continue to submit annual GHG inventory report and BRs while non-Annex I Parties submit BURs. To enhance comparability of the information, they may choose to apply the MPGs in place of the relevant reporting guidance under the Convention in reporting their NCs and annual GHG inventories.

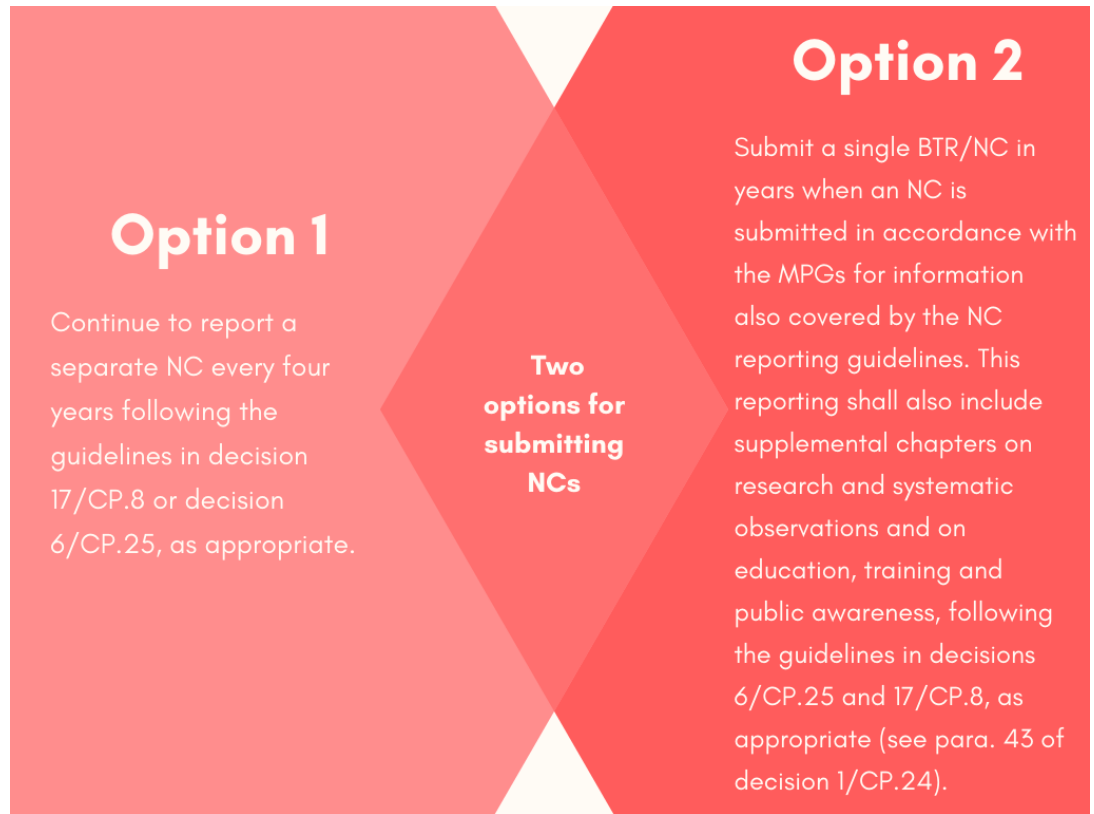
The following provides a summary of the reports that Parties to the Convention that are Parties to the Paris Agreement will continue to submit under the ETF.

### 2.2.1 Reporting NCs

Developed and developing country Parties to the Convention and the Paris Agreement must continue to submit an NC every four years even after the ETF comes into effect. When submitting their NCs, Parties to the Paris Agreement may select from two options (see figure 2.2):

<sup>30</sup> Decision 1/CP.24, para. 44.

Figure 2.2 Options for submitting national communications



Parties that do not report information on adaptation in section IV of the BTR must also include in their BTR an additional chapter on adaptation, in accordance with the relevant guidelines contained in decisions 6/CP.25 and 17/CP.8, as appropriate.<sup>31</sup>

### 2.2.2 Reporting of annual national GHG inventories for developed country Parties

Developed country Parties to the Paris Agreement must continue to submit their annual NIRs to the secretariat by 15 April each year when the reports are first due under the Paris Agreement,<sup>32</sup> including in 2024. These Parties may submit their annual NIRs either as a stand-alone report or as part of the BTR in the years when the BTR is submitted.

Since developed country Parties to the Convention submit GHG inventories annually, under the Paris Agreement, they must submit their annual NIRs even in years when a BTR is not due.<sup>33</sup> The information to be reported in the annual NIR is clearly outlined in the MPGs.

<sup>31</sup> Decision 1/CP.24, para.42.

<sup>32</sup> Para. 2(b) of decision 3/CP.1, reiterated in decisions 3/CP.5 (para. 2) and 24/CP.19 (para. 3).

<sup>33</sup> Decision 1/CP.24, para. 42.



### 2.2.3 Reporting REDD+ activities as a technical annex to the BTR

Developing country Parties to the Paris Agreement can voluntarily submit information on the results of their REDD+ activities as a technical annex to the BTR, previously submitted under the Convention as an annex to the BUR.

As the MRV modalities for REDD+ are not modified by the MPGs, developing country Parties will continue to voluntarily submit the results of REDD+ activities in the context of results-based payments using the existing MRV modalities.<sup>34</sup>

The main difference between REDD+ under the current MRV arrangements and under the ETF will be the ‘vehicle’ to which the REDD+ technical annex is attached. The content of the technical annex will continue to be elaborated in accordance with the Warsaw Framework for REDD+, particularly with the above-mentioned MRV modalities.

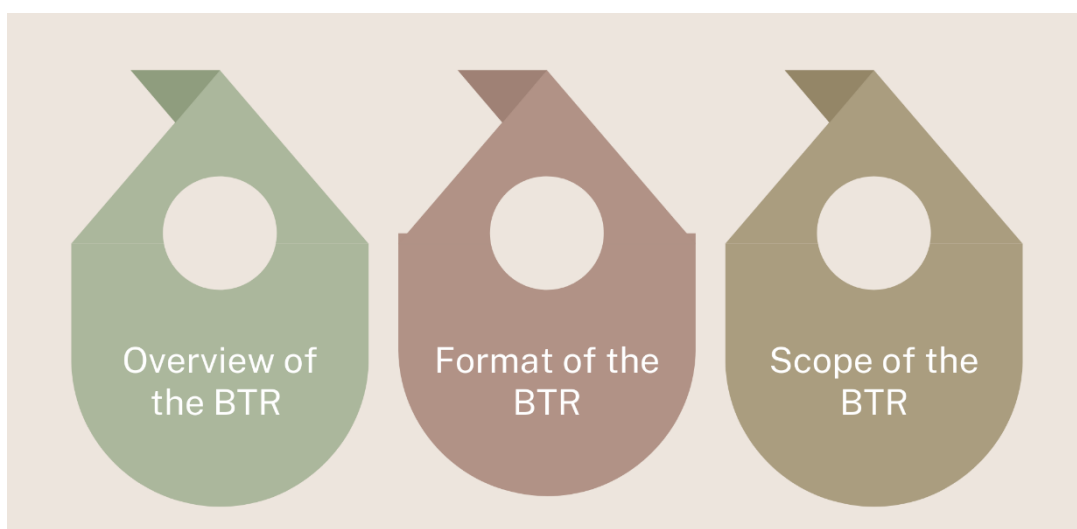
#### Practice activity 2.1

Match the report with the correct description:

Type(s) of report	Description
BR and BUR [1]	Voluntary reports for results-based payments [ ]
REDD+ technical annex [2]	These reports are to be submitted every four years [ ]
Annual NIR [3]	Reports that will not be submitted under the ETF [ ]
NC [4]	Annual submission is mandatory for developed country Parties, but voluntary for developing country Parties [ ]

## 2.3 Reporting under the enhanced transparency framework

Figure 2.3 Three aspects of the biennial transparency report



<sup>34</sup> Contained in decision 14/CP.19.

### 2.3.1 Overview of the BTR

Every two years, from December 2024 at the latest, all Parties to the Paris Agreement will be required to submit a BTR providing country-specific information on their implementation of the Paris Agreement. There is an exception for SIDS and the LDCs, which may submit this information at their discretion.

The BTR is a key component of the ETF, and one of its main functions is to facilitate transparency of reporting. It is the primary vehicle by which a Party transparently communicates information on its participation in and contribution to national, regional and global efforts under the Paris Agreements to mitigate and adapt to climate change. It is also where developed countries shall and other countries that provide support should report on the financial, capacity-building and technology development and transfer support that they have provided and mobilized. Further, through the BTR, developing countries should communicate their respective needs and the support that they have received.

The BTR is composed of several sections and contains both textual information and data in tabular format in CRTs (for GHG inventory information) and CTF (for tracking progress in implementing and achieving the NDC and reporting information on finance, technology development and transfer and capacity-building).

When following the MPGs, Parties should be aware of what they are required to report (i.e. the items that 'shall' be reported) and what they are encouraged to report (i.e. the items that 'should' or 'may' be reported). Developing country Parties that need flexibility in the light of their capacities may apply specific flexibility provisions. All reporting requirements are laid out in the MPGs, in combination with the CRTs and CTF tables (see figure 2.4).

**Figure 2.4 Overview of reporting requirements under Article 13 of the Paris Agreement: transparency of action and support**



### 2.3.2 Format of the BTR

The format of the BTR is informed by the chapters outlined in the MPGs. To assist Parties with reporting information that is consistent with the MPGs, the SBSTA developed an outline that was adopted by the CMA. Parties are encouraged to prepare their BTRs in accordance with the outline.

<sup>35</sup> Decision 5/CMA.3, paras 1(d) and 2 and annex IV.

The BTR can be submitted on its own as a stand-alone report or as part of a document combining other reports under the Convention, depending on the timing of their submission (see section 2 above).

In years when the submission of the NC or NIR coincides with the BTR submission, they can be submitted as a single document with clearly labelled sections. Developing country Parties may also voluntarily submit REDD+ technical annexes, which must be submitted with a BTR.

Since Parties to the Paris Agreement may submit the NC and BTR as a single document, it is important that the information reported for each submission is clearly identified, particularly for “developed country Parties whose NCs are reviewed every four years”, starting from the date that reports are first due under the Paris Agreement. These Parties may submit the information also covered by the NC reporting guidelines<sup>36</sup> following the guidance provided in the MPGs. In addition, as per the relevant NC reporting guidelines, Parties submitting the NC and BTR together must include in the report supplemental chapters on research and systematic observation, and education, training and public awareness, along with an additional chapter on adaptation if this information has not been reported under chapter IV of the MPGs.<sup>37</sup>



### Practice activity 2.2

Are the following statements true or false?

Statements	Responses
All Parties to the Convention must submit their final NCs in December 2024.	True/False
One of the key functions of the BTR is to communicate transparency of climate action and support.	True/False
The information reported in the BTR includes both text and tables.	True/False
Every two years, from December 2024 at the latest, all Parties to the Paris Agreement are required to submit a BTR.	True/False

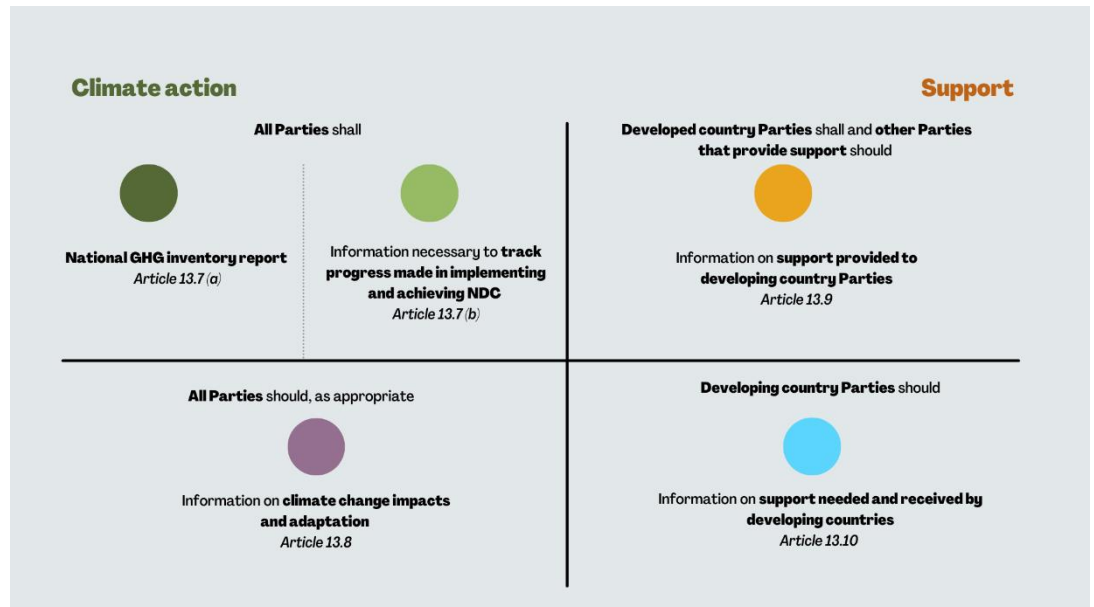
### 2.3.3 Scope of the BTR

The MPGs provide clarity on the reporting requirements for Parties in relation to the BTR, as shown in figure 2.4. Figure 2.5 summarizes the five reporting elements under Article 13 of the Paris Agreement, that are further outlined in the MPGs. You will learn more about these reporting elements in other lessons in this ETF overview course and in the thematic courses.

<sup>36</sup> Contained in decision 1/CP.25, 2/CP.25, 3/CP.25, 4/CP.25, 5/CP.25, 6/CP.25.

<sup>37</sup> Decision 1/CP.21, para 43(b).

Figure 2.5 The core elements of reporting in BTRs under Article 13 of the Paris Agreement



### 2.3.3.1. NIR

Parties to the Paris Agreement must submit an NIR of anthropogenic GHG emissions by sources and removals by sinks. The NIR comprises a national inventory document and CRTs for the electronic reporting of information specified in the MPGs (chapter II of annex to 18/CMA.1). The outlines for the NIR and the CRTs were developed by the SBSTA and adopted by the CMA, to promote consistency in reporting the relevant information. The CMA also encouraged Parties to prepare their NIR in accordance with the outline.<sup>38</sup> However, provisions for developing countries that need flexibility in the light of their capacities, are clearly outlined.<sup>39</sup>

Developed country Parties submit an NIR annually, either as a stand-alone report or as a component of the BTR (see section 2 above). In both cases, the format and content of the information reported must comply with the reporting obligations under the MPGs (see table 2.1).

<sup>38</sup> Decision 5/CMA.3, paras 1(d) and 2 and annex IV.

<sup>39</sup> Decision 5/CMA.3, para.5.

**Table 2.1 Reporting provisions for the National Inventory Report**

<i>Paragraph(s) of the MPGs</i>	<b>Heading</b>	<b>Areas of flexibility under the MPGs</b>
<i>Paragraph 17</i>	A. Definitions	NA
<i>Paragraphs 18–19</i>	B. National circumstances and institutional arrangements	NA
<i>Paragraphs 20–36</i>	C. Methods	Key category analysis (para. 25) Uncertainty assessment (para. 29) Completeness (para. 32) QA/QC (paras. 34–35)
<i>Paragraph 37</i>	D. Metrics	NA
<i>Paragraphs 38–58</i>	E. Reporting guidance	Gases (para. 48) Time series (paras. 57–58)

### 2.3.3.2 Information necessary to track progress made in implementing and achieving NDCs under Article 4 of Paris Agreement

All Parties to the Paris Agreement must report on progress in their BTRs. This includes the electronic reporting of information in CTF, which was developed under the SBSTA and adopted by the CMA.<sup>40</sup>

As with the NIR, reporting on progress provides for flexibility for those developing country Parties that need it in the light of their capacities.

The reporting obligations for tracking progress in implementing and achieving NDCs are outlined in chapter III of the MPGs, as shown in table 2.2.

<sup>40</sup> Decision 5/CMA.3, annex II.

**Table 2.2 Reporting provisions on information necessary to track progress made in implementing and achieving nationally determined contributions under Article 4 of Paris Agreement**

<i>Paragraph(s) of the MPGs</i>	<b>Heading</b>	<b>Area of flexibility under the MPGs</b>
<i>Paragraphs 59–63</i>	A. National circumstances and institutional arrangements	NA
<i>Paragraph 64</i>	B. Description of a Party’s NDC under Article 4 of the Paris Agreement, including updates	NA
<i>Paragraphs 65–79</i>	C. Information necessary to track progress made in implementing and achieving a Party’s NDC under Article 4 of the Paris Agreement	NA
<i>Paragraphs 80–90</i>	D. Mitigation PaMs, actions and plans, including those with mitigation co-benefits resulting from adaptation actions and economic diversification plans, related to implementing and achieving an NDC under Article 4 of the Paris Agreement	Estimates of expected and achieved GHG emission reductions (para. 85)
<i>Paragraph 91</i>	E. Summary of GHG emissions and removals	NA
<i>Paragraphs 92–102</i>	F. Projections of GHG emissions and removals, as applicable	Projections of GHG emissions and removals (paras. 92, 95 and 102)
<i>Paragraph 103</i>	G. Other information	NA

### 2.3.3.3. Reporting information in a structured summary using CTF, including information on cooperative approaches

Each Party to the Paris Agreement must provide in the BTR certain information on its NDC and the data it contains and the information necessary to track progress in implementing and achieving the NDC, including in a structured summary.<sup>41</sup> The specific information to be reported in the BTR will depend on the requirements in the NDC accounting guidance<sup>42</sup> and the accounting approach(es) selected by the Party. This information will be captured in the CTF agreed by the CMA, including the format and content.

Article 6, paragraph 1, of the Paris Agreement recognizes that some Parties may choose to pursue voluntary cooperation with other Parties in implementing their NDCs to allow for higher ambition

<sup>41</sup> Decision 18/cma.1, annex, para. 77.

<sup>42</sup> Decision 4/CMA.1, annex II.

in their mitigation and adaptation activities and to promote sustainable development and environmental integrity. Such voluntary cooperation can take three forms:

- Voluntary approaches that involve the use of ITMOs;
- A mechanism to contribute to the mitigation of GHG emissions and support sustainable development;
- Non-market approaches.

Parties that participate in cooperative approaches that involve the use of ITMOs towards their NDC, or authorize the use of ITMOs for international mitigation purposes other than achievement of their NDC, must provide the following additional information in their structured summary:

**Table 2.3 Reporting provisions on information on cooperative approaches, to be reported in a structured summary**

<b>Paragraph(s) of the MPGs</b>	<b>Information on ITMOs to be provided in the structured summary</b>
<i>Paragraph 77(d)(i)</i>	The annual level of GHG emissions and removals covered by the NDC on an annual basis, reported biennially
<i>Paragraph 77(d)(ii)</i>	An emission balance reflecting the level of GHG emissions and removals covered by the NDC adjusted on the basis of corresponding adjustments undertaken by effecting an addition for ITMOs first-transferred/transferred and a subtraction for ITMOs used/acquired, consistent with guidance developed under Article 6 of the Paris Agreement
<i>Paragraph 77(d)(iii)</i>	Any other information on reporting under Article 6 consistent with decision 3/CMA.3
<i>Paragraph 77(d)(iv)</i>	Information on how each cooperative approach promotes sustainable development; ensures environmental integrity and transparency, including in governance; and applies robust accounting to ensure, inter alia, the avoidance of double counting consistent with decision 3/CMA.3

#### 2.3.3.4. Information related to climate change impacts and adaptation

All Parties to the Paris Agreement are encouraged to report information on climate change impacts and adaptation in their BTRs. Adaptation information is reported on a voluntary basis, both in terms of whether to report it and the type of information to report. The related reporting provisions for Parties are outlined in chapter IV of the [MPGs](#), as shown in table 2.4.

**Table 2.4 Reporting provisions on climate change impacts and adaptation**

<i>Paragraph(s) of the MPGs</i>	<b>Heading</b>
<i>Paragraph 106</i>	A. National circumstances, institutional arrangements and legal frameworks
<i>Paragraph 107</i>	B. Impacts, risks and vulnerabilities, as appropriate
<i>Paragraph 108</i>	C. Adaptation priorities and barriers
<i>Paragraph 109</i>	D. Adaptation strategies, policies, plans, goals and actions to integrate adaptation into national policies and strategies
<i>Paragraphs 110–111</i>	E. Progress on implementation of adaptation
<i>Paragraphs 112–114</i>	F. Monitoring and evaluation of adaptation actions and processes
<i>Paragraph 115</i>	G. Information related to averting, minimizing and addressing loss and damage associated with climate change impacts
<i>Paragraph 116</i>	H. Cooperation, good practices, experience and lessons learned
<i>Paragraph 117</i>	I. Any other information related to climate change impacts and adaptation under Article 7 of the Paris Agreement

In their BTRs, Parties can choose to cross-reference previously reported adaptation information, focus on updating such information or combine both approaches. While reporting this chapter is not mandatory, Parties are encouraged to report this information.

Until COP 21 in Paris in 2015, Parties mainly reported adaptation information in their NCs. The Paris Agreement introduced two new arrangements relevant to adaptation reporting:

- The MPGs, which apply to all Parties and integrate a wider range of adaptation information compared with “the UNFCCC reporting guidelines on NCs”;
- Adaptation communications, which Parties can use to provide information on their priorities, implementation and support needs, plans and actions in relation to adaptation. Adaptation communications can be submitted as part of, or together with, other documents, namely, such as NDCs, NAPs, NCs and BTRs.

Decision 9/CMA.1 contains the operational guidance for preparing and submitting adaptation communications. In particular, it outlines:

- The purpose of adaptation communications, which is to increase the visibility and profile of adaptation and improve its balance with mitigation; strengthen action and support;



provide input to the global stocktake; and enhance learning and understanding of needs and actions;

- How the communications will inform the global stocktake;
- The guiding principles, in particular that the communications shall be voluntary, country-driven and flexible, and not a basis for comparison or subject to reviews;
- The modalities for submission, namely as a component of or in conjunction with ‘vehicle’ documents (e.g. NAPs, NDCs, NCs and BTRs) in time to inform the global stocktake, with the adaptation communications recorded in a public registry maintained by the secretariat;
- The information that Parties may include, such as on their national circumstances, institutions, vulnerabilities, priorities, plans, needs, progress and co-benefits, as well as on other international frameworks, gender and indigenous knowledge.

In addition, decision 9/CMA.1 invites the GEF to support the preparation and submission of adaptation communications in line with its existing mandate and encourages other institutions to continue supporting adaptation plans and actions in accordance with the priorities outlined in the adaptation communications.

To further enhance the guidance available for adaptation communications, the Adaptation Committee is developing supplementary guidance that Parties can choose to use for communicating information in accordance with the elements of information identified in decision 9/CMA.1.

#### **2.3.3.5. Information on financial, technology development and transfer and capacity-building support provided and mobilized under Articles 9–11 of the Paris Agreement**

Developed country Parties to the Paris Agreement are required to report in their BTRs information on financial, technology development and transfer and capacity-building support provided and mobilized, while other Parties that provide support to other Parties are encouraged under the Paris Agreement to report information on the support provided.

The reporting obligations for this information also include electronically reporting information using CTF, which was developed under the SBSTA.<sup>43</sup>

The reporting obligations for information on support provided and mobilized are outlined in chapter V of the MPGs, as shown in table 2.5.

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<sup>43</sup> Decision 5/CMA.3, annex III.

**Table 2.5 Reporting provisions on support provided and mobilized**

<i>Paragraph(s) of the MPGs</i>	<b>Heading</b>
<i>Paragraphs 119–120</i>	A. National circumstances and institutional arrangements
<i>Paragraphs 121–122</i>	B. Underlying assumptions, definitions and methodologies
<i>Paragraphs 123–125</i>	C. Information on financial support provided and mobilized under Article 9 of the Paris Agreement
<i>Paragraphs 126–127</i>	D. Information on support for technology development and transfer provided under Article 10 of the Paris Agreement
<i>Paragraphs 128–129</i>	E. Information on capacity-building support provided under Article 11 of the Paris Agreement

#### **2.3.3.6. Information on financial, technology development and transfer and capacity-building support needed and received under Articles 9–11 of the Paris Agreement**

Developing country Parties to the Paris Agreement should report in their BTRs information on financial, technology development and transfer and capacity-building support needed and received.

The reporting obligations for this information also include electronically reporting information using CTF, which was developed under the SBSTA and adopted by the CMA.<sup>44</sup>

The obligations for reporting information on support needed and received are outlined in chapter VI of the MPGs, as shown in table 2.6.

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<sup>44</sup> Decision 5/CMA.3.

**Table 2.6 Reporting provisions on support needed and received**

<i>Paragraph(s) of the MPGs</i>	<b>Heading</b>
<i>Paragraph 130</i>	A. National circumstances, institutional arrangements and country-driven strategies
<i>Paragraph 131</i>	B. Underlying assumptions, definitions and methodologies
<i>Paragraphs 132–133</i>	C. Information on financial support needed by developing country Parties under Article 9 of the Paris Agreement
<i>Paragraph 134</i>	D. Information on financial support received by developing country Parties under Article 9 of the Paris Agreement
<i>Paragraphs 135–136</i>	E. Information on technology development and transfer support needed by developing country Parties under Article 10 of the Paris Agreement
<i>Paragraphs 137–138</i>	F. Information on technology development and transfer support received by developing country Parties under Article 10 of the Paris Agreement
<i>Paragraphs 139–140</i>	G. Information on capacity-building support needed by developing country Parties under Article 11 of the Paris Agreement
<i>Paragraphs 141–142</i>	H. Information on capacity-building support received by developing country Parties under Article 11 of the Paris Agreement
<i>Paragraphs 143–145</i>	I. Information on support needed and received by developing country Parties for the implementation of Article 13 of the Paris Agreement and transparency-related activities, including for transparency-related capacity-building



### Practice activity 2.3

Match the term with the correct description:

Description	Term
A form of voluntary cooperation reported for tracking progress made in implementing and achieving NDC. [     ]	Adaptation communication [1]
The “shall” reporting requirements are mandatory for [     ].	Non-market approaches [2]
Provides information to increase the visibility and profile of adaptation and improve its balance with mitigation. [     ]	Developed country Parties [3]
[     ] report on support provided and mobilized.	All Parties [4]

## 2.4 Self-check quiz

1. Which statement is correct?
  - a. All Parties to the Convention will submit BTRs.
  - b. Only developing country Parties will submit BTRs.
  - c. All Parties to the Paris Agreement will submit BTRs.
  - d. Only developed country Parties will submit BTRs and NIRs.
2. Which statement is correct?
  - a. Under the ETF, developed country Parties report information on support mobilized and received.
  - b. Under the ETF, all Parties report on support needed and received.
  - c. Under the ETF, reporting on support provided is optional for developed country Parties.
  - d. None of the above.
3. Which statement is correct?

When an NIR is submitted as a component of a BTR, its format will:

- a. Change, since the NIR will be included as a chapter in the BTR.
- b. Change, since the NIR will be a summary of the comprehensive report.
- c. Remain the same when submitted as a stand-alone or with the BTR.
- d. Be determined by the Party reporting.

4. Which statement about flexibility provisions is correct?
  - a. All Parties can use flexibility provisions in their BTRs.
  - b. Flexibility provisions are included in all chapters of the BTR.
  - c. Flexibility applies only to those developing country Parties that need it in the light of their capacities.
  - d. Flexibility provisions are optional for developed country Parties.
5. Which statements on frequency of reporting are true?
  - a. BTRs will be submitted every two years.
  - b. Parties to the Convention that are not Parties to the Paris Agreement will submit BTRs at their discretion.
  - c. Developed country Parties to the Paris Agreement will submit NIRs annually.
  - d. NCs will be submitted every four years.
6. Reporting information to track the progress made in implementing and achieving NDCs is:
  - a. Mandatory for developed country Parties only.
  - b. Reported only by countries that need flexibility in the light of their capacities.
  - c. Mandatory for all Parties.
  - d. Optional for developing country Parties.
7. Which statement is false?

Choosing to pursue voluntary cooperation with other Parties in implementing NDCs:

  - a. Allows for higher ambition in a Party's mitigation and adaptation activities.
  - b. Promotes sustainable development and environmental integrity.
  - c. Does not include non-market approaches.
  - d. Can include approaches that involve the use of ITMOs.
8. Which statement is correct?

When reporting in their BTRs, Parties must use CRTs for reporting information on:

  - a. Support mobilized and received.
  - b. Climate change impacts and adaptation.
  - c. GHG inventory information
  - d. Tracking progress made in implementing and achieving NDCs.

9. Once the ETF is fully operational, Parties to the Convention and the Paris Agreement can submit BTRs with other reports, but not with:
  - a. NCs.
  - b. BURs.
  - c. NIRs.
  - d. REDD+ technical annexes.
10. One key difference between reporting on adaptation under the Convention and under the Paris Agreement is that:
  - a. Reporting on adaptation is mandatory under the ETF.
  - b. Reporting on adaptation in BUR is mandatory for developing country Parties.
  - c. Developed country Parties can report on adaptation in their BRs.
  - d. Adaptation communications can be submitted as part of, or in conjunction with, BTRs.

## 2.5 Lesson summary

- Parties to the Paris Agreement:
  - Will submit their final BRs and BURs no later than 31 December 2022 and 31 December 2024, respectively;
  - Will submit their first BTRs no later than 31 December 2024;
  - Will continue to submit an NC every four years;
- The BTR will be submitted biennially by all Parties to the Paris Agreement, and it can include an NIR as a component;
- The core elements to be reported in the BTR are:
  - The national GHG inventory;
  - Information necessary to track progress made in implementing and achieving NDCs under Article 4 of the Paris Agreement;
  - Information on climate change impacts and adaptation;
  - Information on support provided and mobilized by developed country Parties;
  - Information on support needed and received by developing country Parties.

## 2.6 Answer key

### Practice activity 2.1

Match the reports with the correct description.

Type(s) of report	Description
BRs and BURs	Reports that will not be submitted under the ETF
REDD+ technical annex	Voluntary reports for results-based payments
Annual NIR	Annual submission is mandatory for developed country Parties, but voluntary for developing country Parties
NCs	To be submitted every four years

### Practice activity 2.2

Are the following statements true or false?

Statements	Responses
All Parties to the Convention must submit their final NCs in December 2024.	False
One of the key functions of the BTR is to communicate transparency of climate action and support.	True
The information reported in the BTR includes both text and tables.	True
Every two years, from December 2024 at the latest, all Parties to the Paris Agreement will be required to submit a BTR.	True

 Practice activity 2.3

Match the term with the correct description.

Questions	Answers
A form of voluntary cooperation reported for tracking progress made in implementing and achieving NDC.	Non-market approaches
The “shall” reporting requirements are mandatory for [     ].	All Parties
Provides information to increase the visibility and profile of adaptation and improve its balance with mitigation.	Adaptation communication
[     ] report on support provided and mobilized.	Developed country Parties

Self-check quiz

1. **The correct answer is C.** All Parties to the Paris Agreement are required to submit BTRs. Parties to the Convention, that are not Parties to the Paris Agreement, will continue to follow reporting obligations under Articles 4 and 12 of the Convention and existing MRV arrangements under the Convention.
2. **The correct answer is D.** Under the ETF, developed country Parties shall and other Parties that provide support should report on financial, technology transfer and capacity-building support provided to developing country Parties. Developing country Parties should report on financial, technology transfer and capacity-building support received.
3. **The correct answer is C.** The format of NIR remains same regardless of whether it is submitted as a stand-alone document or as part of the BTR.
4. **The correct answer is C.** Flexibility in the reporting, review and FMCP processes under the ETF for those developing country Parties that need it in the light of their capacities is one of the guiding principles of the MPGs.
5. **The correct answer is B.** Parties to the Convention that are not Parties to the Paris Agreement, will not submit BTRs but will continue to report under the existing MRV arrangements (e.g. NCs, annual GHG inventories and BRs for Annex I Parties and NCs and BURs for non-Annex I Parties).
6. **The correct answer is C.** Under the ETF, all Parties shall report on national inventory reporting of GHG emissions and progress made in implementing and achieving the NDC.
7. **The correct answer is C.** Under the Paris Agreement, some Parties may choose to pursue voluntary cooperation with other Parties in implementing their NDCs. Such voluntary cooperation includes: (i) voluntary approaches that involve the use of ITMOs; (ii) a mechanism to contribute to the mitigation of GHG emissions and support sustainable development and (iii) non-market approaches.



8. **The correct answer is C.** To report GHG inventory information, all Parties to the Paris Agreement are required to use the CRTs that were finalized and adopted at CMA 3.
9. **The correct answer is B.** Once ETF is fully operational, BURs will be replaced by BTRs for those developing countries that are Parties to both the Convention and the Paris Agreement.
10. **The correct answer is D.** Under ETF, all Parties should, as appropriate, report on climate change impacts and adaptation. In that context, adaptation communications can be submitted as part of, or in conjunction with, BTRs.

## Lesson 3 Technical Expert Review (TER)

### 3.1 Introduction

This lesson will help you understand the scope and format of the TER, the roles and responsibilities of the experts involved, and the content of the TER report.

After completing the lesson, you will be able to:

- Define the scope and format of the TER;
- Describe the composition of a TER team and the expected roles and responsibilities of the Parties, the TER team and the secretariat;
- Explain the output of a TER, including the content of the TER report;
- Clarify the linkages between reviews/technical analyses of the various reports submitted under the Convention, namely NCs, national GHG inventories and results of REDD+ activities, and the TER.



Time required: 60 minutes

### 3.2 Overview of the TER

Under the ETF, the information submitted by each Party in its BTR shall undergo a TER. For those developing country Parties that need flexibility in the light of their capacities, the review process includes the provision of assistance in identifying capacity-building needs.

The TER report serves as an essential input to the FMCP. The processes for the TER and FMCP, which are both essential components of the ETF, allow for an independent assessment of a Party's progress in implementing its NDC and, importantly, enable reporting to be improved over time under the Paris Agreement.

### 3.3 Scope and format of the TER

#### 3.3.1 Scope

According to the MPGs, the TER must be implemented in a facilitative, non-intrusive, non-punitive manner, respecting national sovereignty and avoiding undue burden being placed on Parties.<sup>45</sup> The TER must also pay particular attention to the respective national capabilities and circumstances of developing country Parties.<sup>46</sup> The MPGs define what a TER shall and shall not involve<sup>47</sup> (see figure 3.1 below).

Photo credit:  
<https://get.pxhere.com>

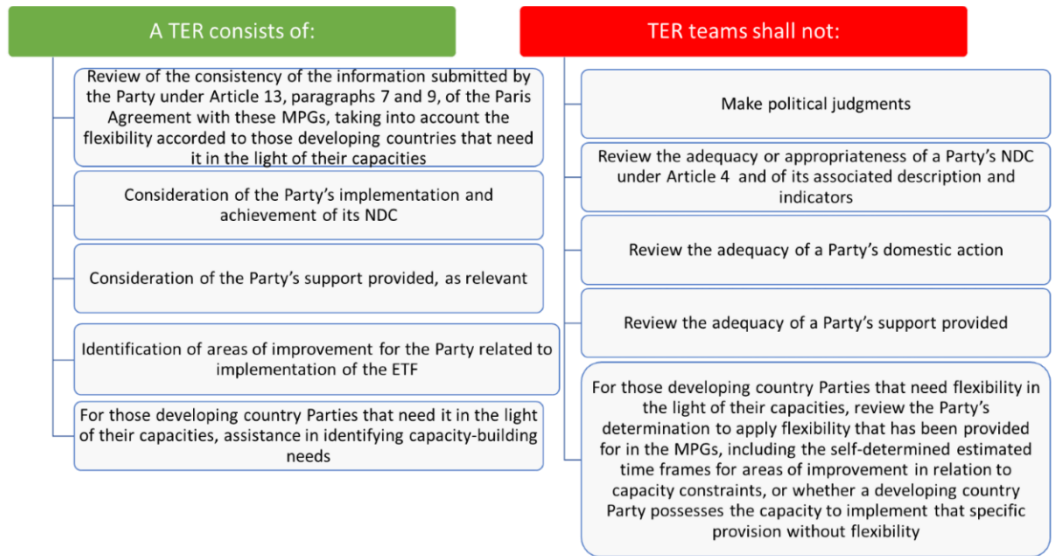
<sup>45</sup> Decision 18/CMA.1, annex. para. 3.

<sup>46</sup> Decision 18/CMA.1, annex. para. 147.

<sup>47</sup> Decision 18/CMA.1, annex. para. 146-149.

*According to the MPGs, the TER must be implemented in a facilitative, non-intrusive, non-punitive manner, respecting national sovereignty and avoiding undue burden being placed on Parties.*

Figure 3.1 Scope of the TER



**Practice activity 3.1**

Indicate whether the following TER team assessments are within the scope of the TER.

	Within the scope	Outside of the scope
“The TER team notes that information necessary to track the Party’s progress in implementing and achieving its NDC is not transparent.”	<input type="checkbox"/>	<input type="checkbox"/>
“The TER team noted that the mitigation action proposed by the Party will not allow it to achieve its mitigation target.”	<input type="checkbox"/>	<input type="checkbox"/>
“The TER team encourages the Party to provide additional information on emissions of indirect GHGs to facilitate a better understanding of the information reported.”	<input type="checkbox"/>	<input type="checkbox"/>
“The TER team believes that capacity-building support provided by the Party is not adequate.”	<input type="checkbox"/>	<input type="checkbox"/>

### 3.3.2 Information to be reviewed

As part of the TER, the TER team must review the following information reported in the BTR:<sup>48</sup>

- The **NIR** of anthropogenic emissions by sources and removals by sinks of GHGs;
- The information necessary to track progress made in implementing and achieving the NDC under Article 4;

**Information on financial, technology development and transfer and capacity-building support** provided to developing country Parties under Articles 9–11 of the Paris Agreement. Information submitted by other Parties that provide support may undergo a TER at the respective Party’s discretion.

### 3.3.3 Format of the TER

The TER of the BTR may be conducted in one of three different formats: a centralized review, an in-country review or a desk review,<sup>49</sup> In years in which a BTR is not due, the annual national GHG inventory reports submitted by developed country Parties are subject to a simplified review. Table 3.1 provides more information on these review formats<sup>50</sup>

**Table 3.1 TER formats and their applicability**

Review format	Description	Applicability
<b>In-country review</b>	A TER team conducts the review in the country of the Party subject to review. In-country visits are scheduled, planned and conducted with the consent of and in close coordination with the Party.	<ul style="list-style-type: none"> <li>- The first BTR</li> <li>- At least two BTRs in a 10-year period, one of which contains information on the Party’s achievement of its NDC</li> <li>- If recommended in the TER of the Party’s previous BTR</li> <li>- Upon request by the Party under TER</li> </ul>
<b>Centralized review</b>	A TER team conducts the review from a single, centralized location. A single TER team can review several Parties’ BTRs.	<ul style="list-style-type: none"> <li>- A BTR that is not subject to an in-country or desk review</li> <li>- Those developing country Parties that need flexibility in the light of their capacities with respect to undergoing an in-country review have the flexibility to instead choose to undergo a centralized review, but are encouraged to undergo an in-country review</li> <li>- The LDCs and SIDS may choose to participate in the same centralized review as a group, where a single TER team will review several BTRs from the LDCs and SIDS</li> </ul>
<b>Desk review</b>	Members of a TER team conduct the review remotely from their respective countries.	<ul style="list-style-type: none"> <li>- Should not be conducted: (1) more than once every five years; (2) for the first BTR submitted following a Party’s communication or update of its NDC; or (3) for a BTR that contains information on</li> </ul>

<sup>48</sup> Decision 18/CMA.1, annex. para. 150.

<sup>49</sup> Decision 18/CMA.1, annex. para. 151-155.

<sup>50</sup> Decision 18/CMA.1, annex. para. 156-161.

		the Party's achievement of its NDC under Article 4
<b>Simplified review</b>	The secretariat undertakes an initial assessment of completeness and consistency of the GHG inventory with the MPGs, consistent with the initial assessment procedures. The findings of this simplified review will inform the TER of the Party's next NIR submitted as part of the BTR.	- An NIR submitted in a year in which a BTR is not due

 **Practice activity 3.2**

Assign the correct format to the following TERs.

Object of the TER	In-country review	Centralized review	Desk review	Simplified review
A Party's first BTR	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
An NIR submitted in a year in which a BTR is not due	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
BTRs submitted by the LDCs or SIDS that choose to participate as a group in a review in which a single TER team will review multiple BTRs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**3.3.4 Flexibility provisions related to the format and timeline of the TER**

**Table 3.2 Flexibility provisions available to those developing country Parties that need it in the light of their capacities in relation to the TER<sup>51</sup>**

Area of flexibility (the MPGs)	Flexibility provisions for those developing country Parties that need flexibility in the light of their capacities
<b>Review process</b>	
<b>Format of review</b> (para. 159)	May undergo a centralized review in lieu of an in-country review (but are encouraged to undergo an in-country review)
<b>Timing of review process</b> (paras. 162(c) and 162(f))	Provide responses to preliminary questions within three weeks of the date the questions were received, compared with the two weeks applicable to other Parties
	Take three months to respond to draft report, compared with the one month applicable to other Parties
<b>Communication of draft areas of improvement</b> (para. 162(d))	TER team will identify any capacity-building needs in consultation with the Party by the end of the review week

<sup>51</sup> Decision 18/CMA.1, annex. para. 159 and 162.



**Practice activity 3.3**

Please complete the following sentences with the words on the right.

<p>During a review, developing country Parties that need flexibility in the light of their capacities are encouraged to provide information requested by the TER team within _____ of the request.</p> <p>All other Parties should make every reasonable effort to provide the requested information to the TER team within _____ of the request.</p>	<p><b>three months</b> <b>two weeks</b> <b>one month</b> <b>three weeks</b></p>
<p>Developing country Parties that need flexibility in the light of their capacities shall provide comments on the draft TER report within _____ of its receipt.</p> <p>All other Parties shall be given up to _____ from receipt of the draft TER report to provide comments.</p>	

**3.4 Key actors and their roles**

The TER process involves three key actors: the Party whose BTR is undergoing the TER, the TER team and the secretariat. Their roles are reflected in table 3.3.

Table 3.3 Roles under the TER

The Party <sup>a</sup>	TER team members		The secretariat <sup>b</sup>
	All members <sup>c</sup>	Lead reviewers <sup>d</sup>	
<p><b>Shall cooperate with the TER team and the secretariat and make every reasonable effort to respond to all questions and provide additional clarifying information and comments to the TER team in a timely manner.</b></p>	<ul style="list-style-type: none"> <li>- Shall adhere to the MPGs, including in assessing the Party's submission for consistency with the requirements outlined in the MPGs, raising areas of technical clarification, proposing capacity-building needs, engaging in the conference call with the Parties and with the secretariat and contributing to their specific thematic area of the TER report, as per the allocated role;</li> <li>- Participate in the TER in their individual expert capacity.</li> </ul>	<ul style="list-style-type: none"> <li>- Shall oversee the work of the TER team and ensure that the TER is conducted in accordance with the MPGs;</li> <li>- Should ensure the quality and objectivity of the TER and provide for the continuity, consistency across Parties and timeliness of the TER;</li> <li>- Shall communicate necessary information to the TER team and monitor its progress;</li> <li>- Shall coordinate the submission of queries of the TER team to the Party concerned and the inclusion of the answers in the TER report;</li> <li>- Shall give priority to issues raised in previous TER reports;</li> <li>- Shall provide technical advice to the members of the TER team.</li> </ul>	<ul style="list-style-type: none"> <li>- Shall organize TERs;</li> <li>- Shall develop and provide review tools, templates and materials to support the TER team;</li> <li>- Shall, together with the lead reviewers, facilitate communication between the Party and the TER team;</li> <li>- Shall, under the guidance of the lead reviewers, compile and edit the final TER reports.</li> </ul>

<sup>a</sup> Decision 18/CMA.1, annex, para. 165.

<sup>b</sup> Decision 18/CMA.1, annex, para. 168-170.


<sup>c</sup> Decision 18/CMA.1, annex, para. 166-167.

<sup>d</sup> Decision 18/CMA.1, annex, para. 183-185.

In addition to participating in the TER, the lead reviewers shall meet annually at a lead reviewers' meeting to discuss how to improve the quality, efficiency and consistency of the TER and develop conclusions.<sup>52</sup> The annual meetings of the lead reviewers shall be facilitated by the secretariat.<sup>53</sup>

<sup>52</sup> Decision 18/CMA.1, annex, para. 186.

<sup>53</sup> Decision 18/CMA.1, annex, para. 171.

 Practice activity 3.4

Please complete the following sentences with the words on the right (Note that the words can be used more than once).

<p>_____ shall coordinate the administrative arrangements of the review.</p> <p>_____ shall monitor the progress of the TER.</p> <p>_____ shall participate in the TER in their individual expert capacity.</p> <p>_____ shall ensure the quality and objectivity of the TER and provide for the continuity, consistency across Parties and timeliness of the TER.</p> <p>_____ shall organize TERs.</p> <p>_____ shall raise areas of technical clarification and propose capacity-building needs, if appropriate.</p>	<p><b>Lead reviewers</b> <b>The secretariat</b> <b>All TER team members</b></p>
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**3.4.1 TER team composition**

In order to be part of a TER team, an expert must be nominated to the UNFCCC roster of experts by a Party or an intergovernmental organization.<sup>54</sup>

Each BTR submitted will be assigned to a single TER team of experts selected from the UNFCCC roster of experts.<sup>55</sup> Figure 3.2 shows the criteria to be considered when composing a team.<sup>56</sup>

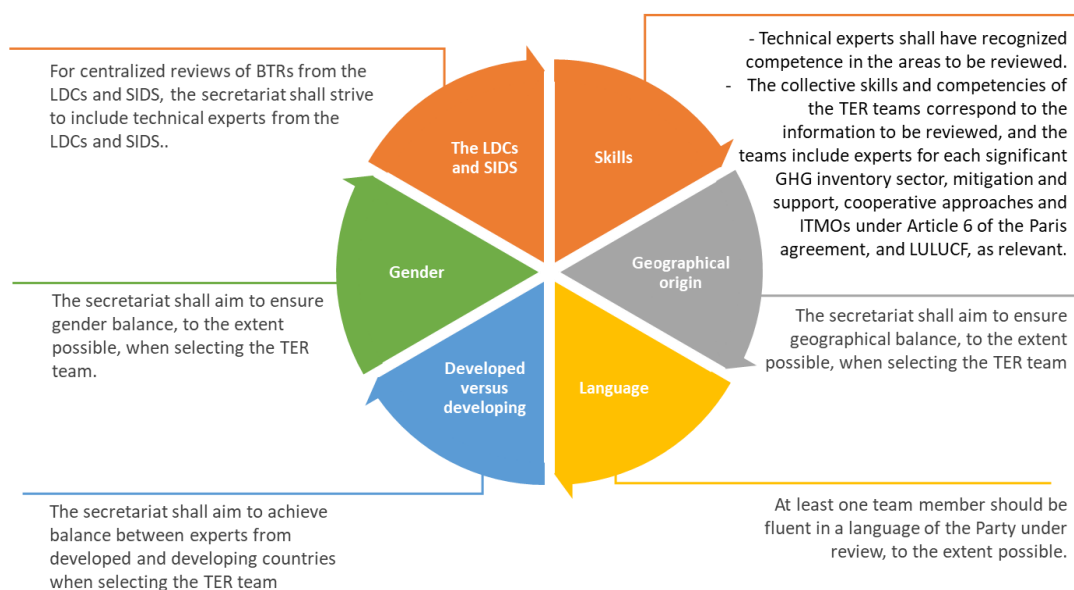
<sup>54</sup> Decision 18/CMA.1, annex. para. 172. See also document FCCC/SBSTA/2020/INF.5, an annual report to the SBSTA on the composition of the ERTs under the current system.

<sup>55</sup> Decision 18/CMA.1, annex. para. 174.

<sup>56</sup> Decision 18/CMA.1, annex. para. 175-182.



Figure 3.2 Criteria for composing a TER team



The following criteria also need to be considered when building a TER team:

- The TER team shall include two lead reviewers, one from a developed country Party and another from a developing country Party;<sup>57</sup>
- The same TER team cannot perform two successive reviews of a Party's submission.<sup>58</sup>

### 3.4.2 Confidentiality

During the review, Parties may designate information provided to the TER team as confidential. In such cases, the Party should specify the basis for protecting the information. The basis for protecting the information is not subject to review. The TER team and the secretariat must not make such information publicly available and must continue to keep it confidential after the TER has been completed.<sup>59</sup>

## 3.5 Output of the TER

The final outcome of the TER will be a TER report containing the results of the review.<sup>60</sup> The report, which will be made publicly available on the UNFCCC website<sup>61</sup>, will include the elements shown in figure 3.3.<sup>62</sup>

<sup>57</sup> Decision 18/CMA.1, annex. para. 181.

<sup>58</sup> Decision 18/CMA.1, annex. para. 179.

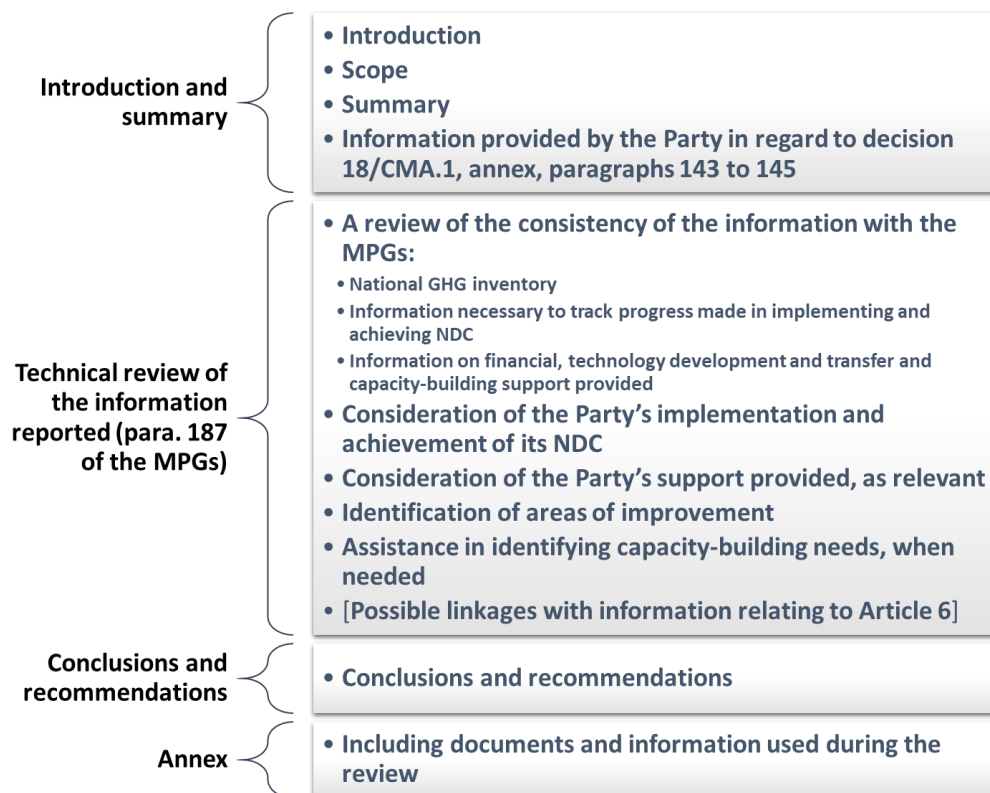
<sup>59</sup> Decision 18/CMA.1, annex. para. 164.

<sup>60</sup> Decision 18/CMA.1, annex. para. 187.

<sup>61</sup> Decision 18/CMA.1, annex. para. 188.

<sup>62</sup> Decision 5/CMA.3, annex VI.

Figure 3.3. Outline of the TERreport



The chapter of conclusions and recommendations could include information on recommendations identified by the TER teams in the previous reviews that the Party has not addressed. If Parties choose to submit a REDD+ technical annex with their BTR, the results of the technical analysis of the REDD+ technical annex will be included in a separate technical report, which will also be made publicly available on the UNFCCC website.

### 3.6 Linkage to reporting and review under the Convention

The MPGs do not supersede the existing provisions for the reporting and review of NCs, or those for the reporting and technical assessment/technical analysis of REDD+ FREL/FRL and technical annexes on REDD+ results. However, while developed country Parties to the Paris Agreement will continue to report annual GHG inventory reports, their reporting and review will take place as per the MPGs instead of the earlier set of guidelines.<sup>22</sup>

#### 3.6.1 Review of national communications

Both developing and developed country Parties to the Paris Agreement must continue to submit an NC every four years. However, only the NCs submitted by developed country Parties will undergo a review.<sup>63</sup> Table 3.4 provides an overview of the information in NCs that is subject to review.

<sup>63</sup> Decision 1/CP.24, para. 43 (c).

Table 3.4 Review of national communications

Party concerned	Information in NCs to be reviewed
Annex I Parties that are also a Party to the Paris Agreement (i.e. <b>developed countries</b> )	Both the NC and BTR will undergo a review, guided by the MPGs and the relevant guidelines in the annex to decision 13/CP.20 for the additional chapters on research and systematic observation, education, training and public awareness, and adaptation (para. 43 (b) of decision 1/CP.24). These guidelines are relevant regardless of whether the NC is submitted as a separate report or integrated within the BTR.
Non-Annex I Parties that are also a Party to the Paris Agreement (i.e. <b>developing countries</b> )	Only the BTR will be reviewed as per the MPGs. If the BTR/NC is submitted as a single report, the additional chapters in the NC (research and systematic observation; education, training and awareness; and adaptation) <b>will not be reviewed</b> . If a separate NC is submitted, it will not undergo any review.

### 3.6.2 Review of annual national GHG inventory reports of developed country Parties

Developed country Parties to the Paris Agreement must submit their annual national GHG inventory reports even in years when a BTR is not due. The following rules apply regarding their review under the MPGs:

- Annual GHG inventory reports submitted by developed country Parties to the Paris Agreement after the date that BTRs are first due under the Paris Agreement will be reviewed as per the MPGs;<sup>64</sup>
- The secretariat will conduct a simplified review of the annual GHG inventory reports submitted by developed country Parties to the Paris Agreement in years in which a BTR is not due.<sup>65</sup> This review will entail a series of checks developed in cooperation with the lead reviewers under the Paris Agreement.

### 3.6.3 Technical analysis of the results of REDD+ activities submitted as a technical annex to the BTR

As the MRV modalities for REDD+ have not been modified in the MPGs, the established technical assessment and technical analysis processes under the Warsaw Framework for REDD+ will continue to apply. Developing country Parties that choose to voluntarily submit information on the results of their REDD+ activities must do so through a technical annex to the BTR. The technical analysis of the technical annex will be carried out together with the TER of the BTR.

<sup>64</sup> Decision 1/CP.24, para. 42.

<sup>65</sup> Decision 18/CMA.1, annex. para. 161.

 **Practice activity 3.5**

Indicate whether or not the information below will be reviewed under the TER.

Information	Reviewed	Not reviewed
Information on adaptation provided in NCs by Annex I Parties that are also a Party to the Paris Agreement	<input type="checkbox"/>	<input type="checkbox"/>
Information on mitigation actions provided in NCs by non-Annex I Parties that are also a Party to the Paris Agreement	<input type="checkbox"/>	<input type="checkbox"/>
Information on education provided in NCs by non-Annex I Parties that are also a Party to the Paris Agreement	<input type="checkbox"/>	<input type="checkbox"/>

### 3.7 Self-check quiz

Please indicate whether the following statements are true or false:

1. A TER team can be exclusively composed of mitigation action experts. [T/F]
2. The GHG experts in the TER team shall facilitate communication between the Party and the TER team. [T/F]
3. The TER should review the adequacy of a Party's support provided. [T/F]
4. A Party's BTR can undergo a desk review more than once every five years. [T/F]
5. The TER team members are obliged to maintain confidentiality after completing the TER. [T/F]
6. All Parties shall provide responses to preliminary questions within two weeks of the date the questions were received. [T/F]

### 3.8 Lesson summary

- Under the ETF, the information submitted by each Party in its BTR shall undergo a TER.
- The TER must be implemented in a facilitative, non-intrusive and non-punitive manner, respecting national sovereignty and avoiding undue burden being placed on Parties. The TER must also pay particular attention to the respective national capabilities and circumstances of developing country Parties.
- The TER may be conducted in one of four different formats: a centralized review, an in-country review, a desk review or a simplified review.
- The MPGs contain specific flexibility provisions for the reviews of the BTRs of those developing country Parties that need flexibility in the light of their capacities.
- The TER process involves three key actors: the Party whose BTR is undergoing the TER; the TER team, including the lead reviewers; and the secretariat. Each has specific roles and responsibilities.

- The two lead reviewers play an important role in the TER because they oversee the work of the TER team. As lead reviewers, they should ensure that the TER is conducted in accordance with the MPGs. They should also ensure the quality and objectivity of the TER and provide for the continuity, consistency across Parties and timeliness of the TER.
- The MPGs do not supersede the existing provisions for the reporting and review/technical assessment/technical analysis of NCs, REDD+ FREL/FRL and technical annexes on REDD+.

### 3.9 Answer key

 Practice activity 3.1

	Within the scope	Outside of the scope
“The TER team notes that information necessary to track the Party’s progress in implementing and achieving its NDC is not transparent.”	<input checked="" type="checkbox"/>	<input type="checkbox"/>
“The TER team noted that the mitigation action proposed by the Party will not allow it to achieve its mitigation target.”	<input type="checkbox"/>	<input checked="" type="checkbox"/>
“The TER team encourages the Party to provide additional information on emissions of indirect GHGs to facilitate a better understanding of the information reported.”	<input checked="" type="checkbox"/>	<input type="checkbox"/>
“The TER team believes that capacity-building support provided by the Party is not adequate.”	<input type="checkbox"/>	<input checked="" type="checkbox"/>

 Practice activity 3.2

Object of the TER	In-country review	Centralized review	Desk review	Simplified review
A Party’s first BTR	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
An NIR submitted in a year in which a BTR is not due	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
BTRs submitted by the LDCs or SIDS that choose to participate as a group in a review in which a single TER team will review multiple BTRs	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

 **Practice activity 3.3**

<p>During a review, developing country Parties that need flexibility in the light of their capacities are encouraged to provide information requested by the TER team within <b>three weeks</b> of the request.</p> <p>All other Parties should make every reasonable effort to provide the requested information to the TER team within <b>two weeks</b> of the request.</p>	<p><b>three months</b> <b>two weeks</b> <b>one month</b> <b>three weeks</b></p>
<p>Developing country Parties that need flexibility in the light of their capacities shall provide comments on the draft TER report within <b>three months</b> of its receipt.</p> <p>All other Parties shall be given up to <b>one month</b> from receipt of the draft TER report to provide comments.</p>	

 **Practice activity 3.4**

<p><b>The secretariat</b> shall coordinate the administrative arrangements of the review.</p> <p><b>Lead reviewers</b> shall monitor the progress of the TER.</p> <p><b>All TER team members</b> shall participate in the TER in their individual expert capacity.</p> <p><b>Lead reviewers</b> shall ensure the quality and objectivity of the TER and provide for the continuity, consistency across Parties and timeliness of the TER.</p> <p><b>The secretariat</b> shall organize TERs.</p> <p><b>All TER team members</b> shall raise areas of technical clarification and propose capacity-building needs, if appropriate.</p>	<p><b>Lead reviewers</b> <b>The secretariat</b> <b>All TER team members</b></p>
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 **Practice activity 3.5**

Information	Reviewed	Not reviewed
Information on adaptation provided in NCs by Annex I Parties that are also a Party to the Paris Agreement	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Information on mitigation actions provided in NCs by non-Annex I Parties that are also a Party to the Paris Agreement	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Information on education provided in NCs by non-Annex I Parties that are also a Party to the Paris Agreement	<input type="checkbox"/>	<input checked="" type="checkbox"/>

### Self-check quiz

1. **The correct answer is FALSE.** The secretariat shall compose a technical review team in such a way that the collective skills and competencies of the TER teams correspond to the information to be reviewed and that the teams include experts for each significant GHG inventory sector, mitigation and support, cooperative approaches and internationally transferred mitigation outcomes under Article 6, and LULUCF, as relevant.
2. **The correct answer is FALSE.** The secretariat, together with the lead reviewers shall facilitate communication between the Party and the TER team.
3. **The correct answer is FALSE.** The TER teams shall not review the adequacy of a Party's support provided.
4. **The correct answer is FALSE.** Desk review should not be conducted: (1) more than once every five years; (2) for the first BTR submitted following a Party's communication or update of its NDC; or (3) for a BTR that contains information on the Party's achievement of its NDC under Article 4.
5. **The correct answer is TRUE.** A Party may designate information provided to the TER review teams during the review as confidential. In such a case, the Party should provide the basis for protecting such information. In this case, TER teams and the secretariat shall not make the information publicly available. The obligation of the members of the TER team to maintain confidentiality continues after the completion of the technical expert review.
6. **The correct answer is FALSE.** The Party concerned should make every reasonable effort to provide the requested information within two weeks of the request; those developing country Parties that need flexibility in the light of their capacities with respect to this provision are instead encouraged to provide the information within three weeks of the request.



## Lesson 4: Conducting the TER

### 4.1 Introduction

In this lesson you will learn how to conduct the review. The lesson covers elements such as the timeline and key tasks to be performed before, during and after the review week; tools and templates available for the TER; and the guidance to be developed by the lead reviewers to ensure consistency across reviews and ensure challenging review issues are addressed.

After completing this lesson, you should be able to:

- Discuss approaches to the technical review of BTRs and the preparation of the TER report;
- Identify the relevant tools and templates available for the TER;
- Outline the key elements of the TER report;
- Outline the timeline of the TER and key tasks to be performed before, during and after the review week.



Time required: 45 minutes

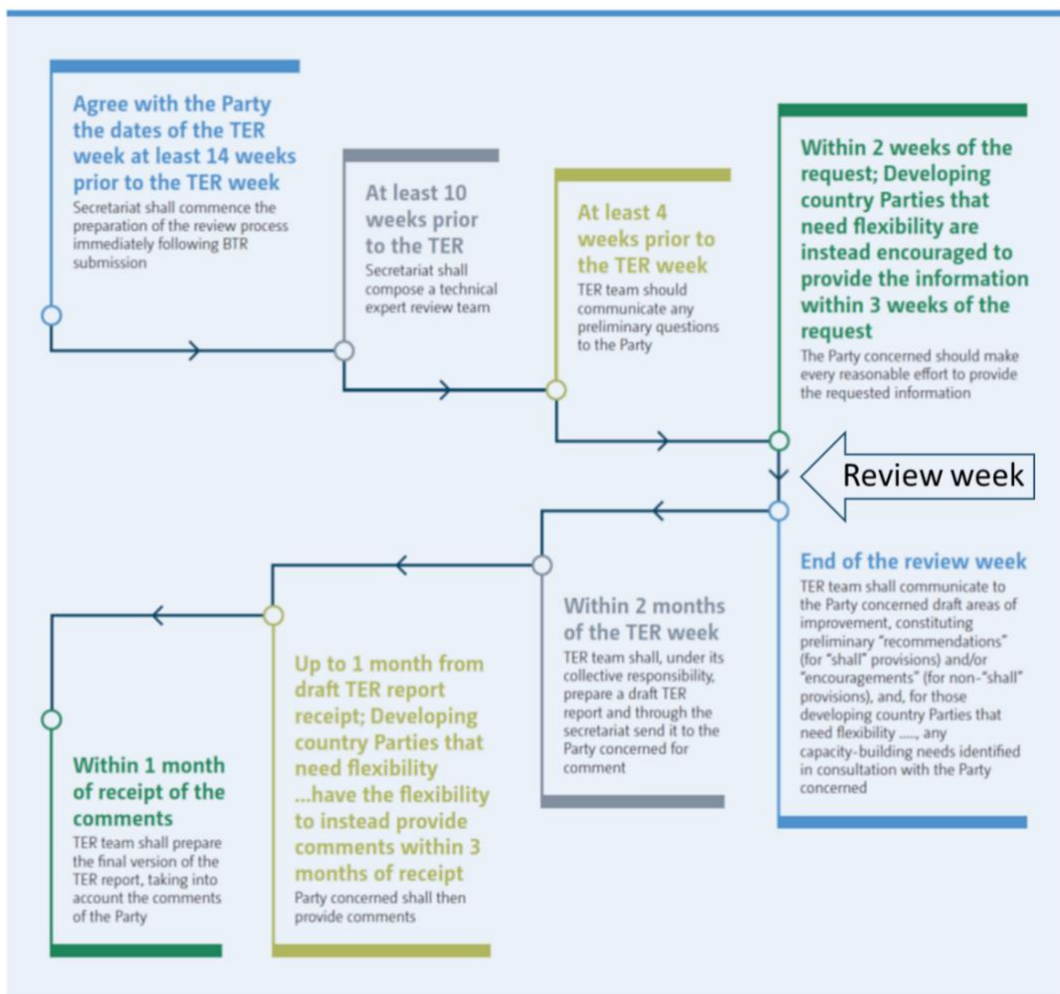
### 4.2 Timeline and key tasks for the TER

Figure 4.1 outlines the procedures, including the timelines, for in-country, centralized and desk reviews.<sup>66</sup>

Photo credit:  
<https://img.rawpixel.com/>

<sup>66</sup> Decision 18/CMA.1, annex. para. 162.

Figure 4.1 Procedures and timelines for in-country, centralized and desk reviews



*It is important to note that the secretariat, not the TER, is responsible for conducting the simplified review of the NIR in years when the BTR is not due.*

It is important to note that the secretariat, not the TERT, is responsible for conducting the simplified review of the NIR in years when the BTR is not due. To do so, the secretariat prepares a draft initial assessment and sends it to the Party within six weeks of the GHG inventory submission. The Party may then provide comments within four weeks of receipt of the draft initial assessment. The secretariat addresses the Party's comments and publishes the final initial assessment on the UNFCCC website within four weeks of receipt of the Party's comments.<sup>67</sup>

<sup>67</sup> Decision 18/CMA.1, annex. para. 163.

### Practice activity 4.1

Put the following review activities in chronological order, with the lowest number denoting the earliest activity:

- The Party provides comments on the draft TER report.
- The TER team communicates to the Party a set of preliminary questions.
- The TER team prepares a draft TER report.
- The secretariat agrees with the Party the dates of the TER.
- The TER team communicates to the Party draft areas of improvement.
- The TER team prepares the final TER report.
- The secretariat finalizes the composition of the TER team.

## 4.3 Approach to conducting a review

The three tasks that you should complete are shown in the figure 4.2 below.

Figure 4.2. Steps to conducting a review



### 4.3.1 Step 1. Prepare

Your first task as a reviewer is to familiarize yourself with the review materials, including the MPGs, the Party's submission (BTR and CTF tables), the review tools provided by the secretariat and the previous TER reports, including previous recommendations and encouragements. This can involve a large amount of information. You should therefore prioritize your consideration of the review materials and focus first on the submissions. You will learn more about how to prepare for the reviews of different thematic areas in the thematic courses.

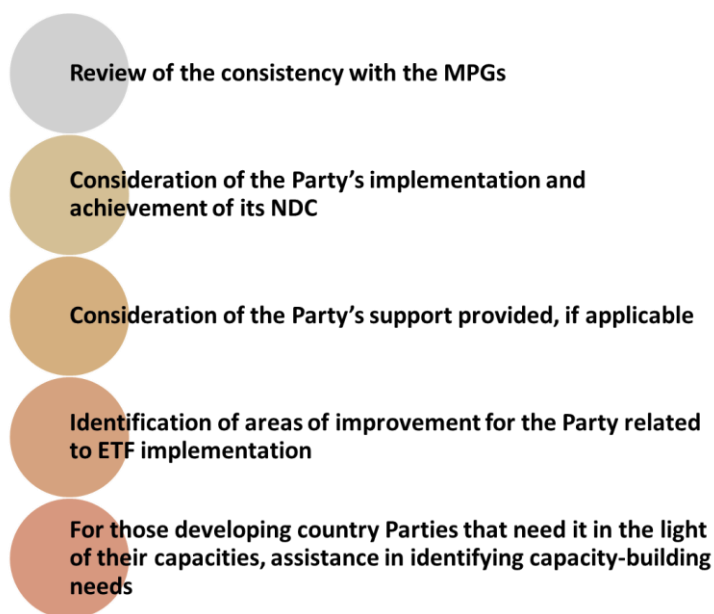
### 4.3.2 Step 2. Assess

According to your expertise, you will review specific thematic areas of the Party's submission (namely, the NIR, information necessary to track progress in implementing and achieving the NDC, and information on financial, technology development and transfer and capacity-building support provided to developing countries). Your primary task as a reviewer is to review the consistency of

information reported in the BTR on the above-mentioned thematic areas with the MPGs.<sup>68</sup> Your review of the thematic area(s) assigned to you will also entail some other tasks, as shown in figure 4.3<sup>69</sup> You will find more information about these tasks in the thematic courses.

#### 4.3.2.1 Scope of the TER

Figure 4.3. Scope of the TER



##### Review of consistency with the MPGs

You should assess whether the Party's BTR submission is consistent with the MPGs.<sup>70</sup> This also includes evaluating whether the information provided complies with the five key reporting principles (transparency, accuracy, completeness, consistency and comparability – also known as the TACCC principles).<sup>71</sup>

##### Consideration of the Party's implementation and achievement of its NDC

You should assess the information provided in both narrative and tabular format regarding the tracking of progress in implementing and achieving NDCs.<sup>72</sup> Parties are granted full flexibility in choosing the type of NDC and the indicators used to track their progress. Therefore, your assessment will be informed by the accounting guidance adopted by the CMA and the accounting approach(es) selected by Parties, as well as by the broader concept of transparency under Article 13 of the Paris Agreement. You **must not** review the adequacy or appropriateness of a Party's NDC and its associated description and indicators<sup>73</sup> or the adequacy of a Party's domestic action.<sup>74</sup>

<sup>68</sup> Decision 18/CMA.1, annex. para. 146 (a).

<sup>69</sup> Decision 18/CMA.1, annex. para. 146 (a-e).

<sup>70</sup> Decision 18/CMA.1, annex. para. 146 (a).

<sup>71</sup> The methodology for assessing the TACCC reporting principles for each thematic area will be further discussed in the thematic courses.

<sup>72</sup> Decision 18/CMA.1, annex. para. 146 (b).

<sup>73</sup> Decision 18/CMA.1, annex. para. 149 (b).

<sup>74</sup> Decision 18/CMA.1, annex. para. 149 (c).

### Consideration of the Party's support provided, if applicable

You should review the information provided on financial, technology development and transfer and capacity-building support provided and mobilized by developed country Parties, if any.<sup>75</sup> You must not review the adequacy of a Party's support provided.<sup>76</sup>

### Identification of areas of improvement for the Party related to ETF implementation

The importance of facilitating improved reporting and transparency over time is one of the guiding principles of the MPGs. Implementing the Paris Agreement and regularly submitting BTRs is a cycle of continuous improvement. It is expected that the information available to Parties and their reporting capacities are at different stages of development but will improve over time, facilitated by the TER. On the basis of your TER findings, you should assist Parties in identifying areas for improvement<sup>77</sup>, either in the form of "recommendations" (for "shall" provisions) or "encouragements" (for non-"shall" provisions).<sup>78</sup> The areas for improvements should be formulated according to the following principles:

- Specific reporting requirements – use the wording of the MPGs as much as possible;
- State the nature of the issue(s) – clearly mention the criteria for the assessment;
- Be specific and clear – make sure that a national expert of the country under review will be able to understand the issue and the corresponding areas for improvement identified by the TER team;
- Make it time-bound – add that it should be addressed in the next BTR.

### For those developing country Parties that need it in the light of their capacities, assistance in identifying capacity-building needs

On the basis of your TER findings and the interaction between the TER team and the Party during the TER, you should identify capacity-building needs in consultation with the Party.<sup>79</sup>

While assessing the section of the Party's BTR for which you are responsible, you should seek additional information or clarification from the Party by sending it questions as necessary, before or during the review week. These shall concern the areas that are inconsistent with the MPGs or non-compliant with the TACCC reporting principles.

#### 4.3.3 Step 3: Draft

As a reviewer, you should contribute to a TER report containing the TER results for the Party under review.<sup>80</sup> Your work on the review report should begin before the review week, when you start reading the review materials. You should have an initial draft of the review report ready on the first day of the review week. The complete draft TER report should be ready by the end of the review week. After comments from the Party are received and addressed, the review report should be published no later than four months after the review week (or no later than six months for those developing country Parties that need flexibility in the light of their capacities), as shown in figure 4.1.<sup>81</sup>

<sup>75</sup> Decision 18/CMA.1, annex. para. 146 (c).

<sup>76</sup> Decision 18/CMA.1, annex. para. 149 (d).

<sup>77</sup> Decision 18/CMA.1, annex. para. 146 (d).

<sup>78</sup> Decision 18/CMA.1, annex. para. 162 (d).

<sup>79</sup> Decision 18/CMA.1, annex. para. 146 (e).

<sup>80</sup> Decision 18/CMA.1, annex. para. 162 (e).

<sup>81</sup> Decision 18/CMA.1, annex. para. 162 (e-h).

## 4.4 How to draft a report

After completing your technical assessment, you must write up your findings in the review report. Be as specific as possible and follow the review report template. The template will help to ensure that you have considered all elements of the Party's report, described your review findings in a systematic way that facilitates comparison between Parties and provides conclusions and recommendations/encouragements to the Party.

The methodology for drafting your findings for each thematic area will be further discussed in the thematic courses. The following documenting steps, however, apply to all areas. Each of your findings should include:

1. A clear reference to the specific reporting requirement;
2. A summary of the information that is correctly provided (when required by the template);
3. If you found any issues related to the specific reporting requirement, a clear description of the nature of the issue(s), including precisely which information is missing, reported inconsistently with the TER practice guidance or non-compliant with the TACCC principles. If more than one issue is found for that reporting provision, ensure that each issue is clearly described;
4. An outline of the clarification provided by the Party, if any;
5. The areas of improvement identified for the Party related to the reporting requirement (if applicable).

Below is an example of a section from a review report of a developed country Party, highlighting missing information on planned mitigation measures.

<b>From the report on the technical review of the sixth national communication of a Party</b>
<p>The Party provided information on PaMs by legislative instrument and programme. However, PaMs were not presented by sector and by gas. In addition, <b>for the PaMs listed, information was not consistently provided under all of the subject headings required by paragraph 19 of the UNFCCC reporting guidelines on NCs (e.g. name and short description, objective, GHG(s) affected, type of policy or measure, status of implementation and implementing entity or entities)</b>. Furthermore, there was not a separate textual description of the principal PaMs for each sector.</p> <p>During the review, the Party provided a complete list of all of its PaMs, including information from the document entitled "Reporting of Policies and Measures Under Article 3(2) of Decision 280/2004/EC Concerning Projections and Assessment of Policies and Measures", which was submitted to the European Commission in March 2013. This information allowed the expert review team to identify which sectors correspond to each of the PaMs and provided additional descriptions of the PaMs. <b>In order to improve the completeness of the information provided on its PaMs, the expert review team recommends that the Party include information under all of the subject headings required by the UNFCCC reporting guidelines on NCs and include textual descriptions of the principal PaMs in its next NC.</b></p>

Below is an example of a section from a technical analysis report of a developing country Party, highlighting unclear information on nationally determined technology needs.

<b>From the technical analysis summary report of the third BUR of a Party</b>
<p>The Party reported information on nationally determined technology needs with regard to the development and transfer of technology in accordance with decision 2/CP.17, annex III, paragraph 16. In its BUR, the Party reported that a technology needs assessment was completed in 2018.</p>

Information on the extent to which the technology needs assessment was nationally determined was not clearly reported in the BUR. During the technical analysis, the Party clarified that the technology needs assessment executed in 2014–2017 was a participatory process involving all sectors and national stakeholders related to climate change, thus ensuring that the needs were determined at the national level. The team of technical experts noted that the transparency of the information reported on needs and support received could be enhanced by addressing the areas noted in the paragraph above, which could facilitate a better understanding of the information reported on needs and support received.

Remember that if you did not find any issues related to the specific reporting requirement, you should just summarize in the report the information reported by the Party and not provide any related recommendations or encouragements.

## 4.5 Tools and templates

The secretariat develops and makes available to the TER team a set of tools to support the TER. These include:

- **The BTR-VTR:** This online platform is used by the TER team, the Party and the secretariat throughout the review process. It is aimed at facilitating the TER process and improving efficiency by enabling the TER team to raise and discuss questions with the Party concerned, draft capacity-building needs (if applicable) and prepare the TER report. It also includes the documentation needed to conduct the review, such as the MPGs, the Party's submission and previous TER reports.
- **TER practice guidance:** This document, which is prepared by the secretariat with input from the lead reviewers, is aimed at facilitating the review process and enhancing consistency across reviews. It provides guidance to the TER team on substantive review issues by identifying some of key technical challenges that TER teams may face in analysing BTRs and outlines suggested approaches to overcome them based on experiences from previous rounds of TERs (or technical analysis). This document will continue such practice followed in the reviews/technical analyses of BRs/BURs.
- **The thematic checklist:** This tool, which is designed to support the initial desk analysis by the TER team before the review week, helps the TER team to assess how the Party has fulfilled the reporting provisions of the MPGs in the BTR. On the basis of the assessment carried out through the thematic checklist, the TER team identifies potential issues, seeks clarification from the Party through the BTR-VTR and prepares its findings in the review report.
- **TER report template:** The TER report captures the outcomes of the TER and is prepared using a standard template. The structure of the template enables the TER team to document the outcome of its mandated tasks, including the review of the extent of consistency of information reported with the MPGs, consideration of implementation and

achievement of NDCs and support provided (as relevant), and identification of areas of improvement and capacity-building needs (as relevant).

- **Tools for LULUCF experts:** Separate tools to assist LULUCF experts in preparing the technical report on the technical analysis of the REDD+ technical annex are also provided. More detailed information is provided in the corresponding thematic course.
- **Other tools:** The secretariat develops additional tools and templates to support the TER.



## 4.6 Self-check quiz

Please indicate whether the following statements are true or false:

1. The secretariat, not the TER Team, is responsible for conducting the simplified review of the NIR in years when the BTR is not due.
2. The TER team shall communicate the Party draft areas for improvement by the end of the review week.
3. Reviewers are not involved in the preparation of the TER report containing the TER results for the Party under review.
4. The TER team should not seek additional clarification from the Party before the review week.

## 4.7 Lesson summary

- The TER process is composed of several steps which must be made within the mandated timeline;
- The first task of reviewers is to familiarize themselves with the review materials, including the MPGs, the Party's submission (BTR and CTF tables), the review tools provided by the secretariat and the previous TER reports;
- The reviewers will review the consistency of information reported in the BTR with the MPGs, according to their thematic expertise;
- The reviewers identify areas for improvement and capacity-building needs in consultation with the Party and on the basis of the TER findings;
- The reviewers must write up their findings in the review report, being as clear and specific as possible and following the review report template;
- The secretariat develops and makes available to the TER team a set of tools and templates to support the TER, including an online platform, thematic checklists and TER practice guidance.

## 4.8 Answer key



### Practice activity 4.1

Put the following review activities in chronological order, with the lowest number denoting the earliest activity:

- [6] The Party provides comments on the draft TER report.
- [3] The TER team communicates to the Party a set of preliminary questions.
- [5] The TER team prepares a draft TER report.
- [1] The secretariat agrees with the Party the dates of the TER.
- [4] The TER team communicates to the Party draft areas of improvement.
- [7] The TER team prepares the final TER report.
- [2] The secretariat finalizes the composition of the TER team.

### Self-check quiz

1. **The correct answer is TRUE.** A simplified review of a Party's NIR involves the secretariat undertaking an initial assessment of completeness and consistency with the MPGs, consistent with the initial assessment procedures. A review of the findings of this initial assessment will form part of the subsequent TER of the Party's NIR.
2. **The correct answer is TRUE.** The TER team shall communicate to the Party concerned draft areas of improvement, constituting preliminary "recommendations" (for "shall" provisions) and/or "encouragements" (for non-"shall" provisions), and, for those developing country Parties that need flexibility in the light of their capacities, any capacity-building needs identified in consultation with the Party concerned, at the end of the TER week.
3. **The correct answer is FALSE.** The TER team shall, under its collective responsibility, prepare a draft technical expert review report and through the secretariat send it to the Party concerned for comment within two months of the technical expert review week.
4. **The correct answer is FALSE.** The TER team should communicate any preliminary questions to the Party at least four weeks prior to the TER week. The TER team may request additional information before or during the technical expert review week.




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<https://www.publicdomainpictures.net>

## Lesson 5: Linkages with other relevant processes

### 5.1 Introduction

This lesson discusses the linkages between the ETF and other relevant processes and bodies under the Convention, including the global stocktake and the PAICC, and financial and capacity-building support for the ETF.

After completing this lesson, you should be able to explain how the ETF under the Paris Agreement is related to other relevant processes, bodies and support, namely the global stocktake, the PAICC and financial and capacity-building support for the ETF and FMCP.

 Time required: 30 minutes

### 5.2 The role of the ETF in the global stocktake

#### 5.2.1 Overview of the global stocktake process

The architecture of the Paris Agreement combines a bottom-up, country-driven process, based on individual NDCs, with a top-down global stocktake aimed at considering and enhancing collective ambition towards achieving the long-term goals of the Paris Agreement.

Every five years, Parties will participate in the global stocktake under the CMA; a process that will involve the participation of Party and non-Party stakeholders, such as scientists, national and subnational governments and civil society. Each global stocktake will evaluate the implementation of the Paris Agreement to assess collective progress towards achieving its purpose and long-term goals in terms of mitigation and adaptation, as well as means of implementation and support. The stocktake will not focus on any individual Party, but rather showcase high-level key messages and best practices.

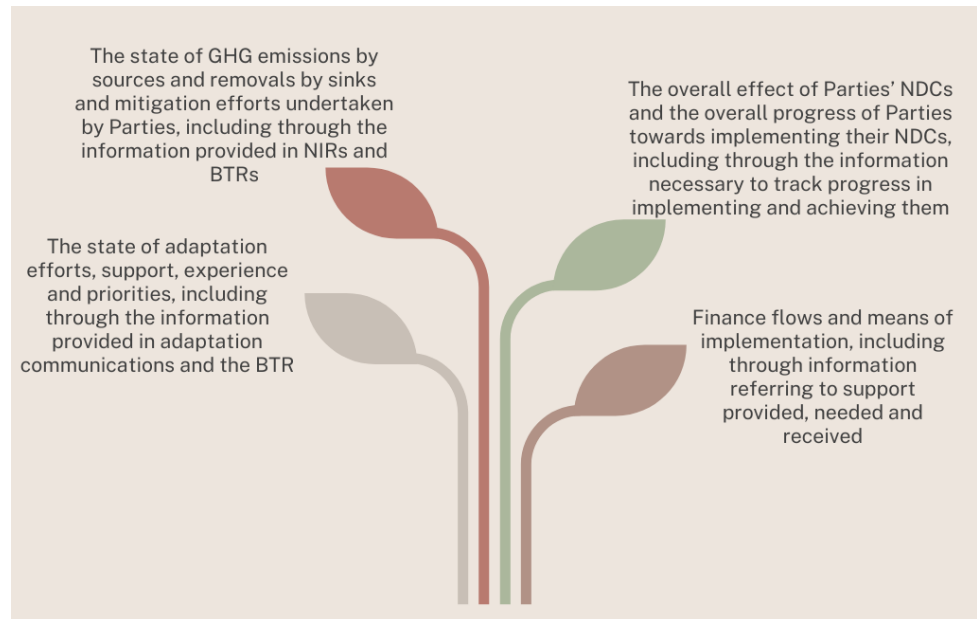
The outcome of the global stocktake is to inform Parties in updating and enhancing their actions and support, in a nationally determined manner, and to enhance international cooperation for climate action, as reflected in Parties' subsequent NDCs.

#### 5.2.2 Inputs included in the global stocktake

The global stocktake will be informed by the best available science (provided by the IPCC and other sources) and consider both backward- and forward-looking information. The information reported and reviewed under the ETF, including Party communications and reports from the TER teams and the FMCP, will be one of several inputs to the global stocktake (see figure 5.1).

Figure 5.1 The sources of inputs for the global stocktake

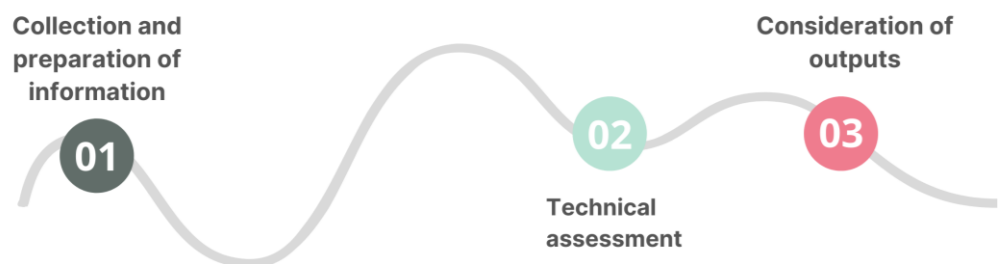
*The global stocktake will be informed by the best available science (provided by the IPCC and other sources) and consider both backward- and forward-looking information.*



### 5.2.3 Modalities of the global stocktake

The global stocktake has three components (see figure 5.2).

Figure 5.2 Components of the global stocktake



- **Collection and preparation of information:** The secretariat will gather the relevant information, prepare synthesis reports on the thematic areas of the global stocktake and make them publicly available online. The secretariat will also organize webinars for the authors of the synthesis reports to provide further information. The work on this component will start one session before the start of the technical assessment. If there are any information gaps, further inputs will be requested by the secretariat, and then the

information gathered will be submitted to the secretariat for consideration of outputs, which will take place at the end of 2023.

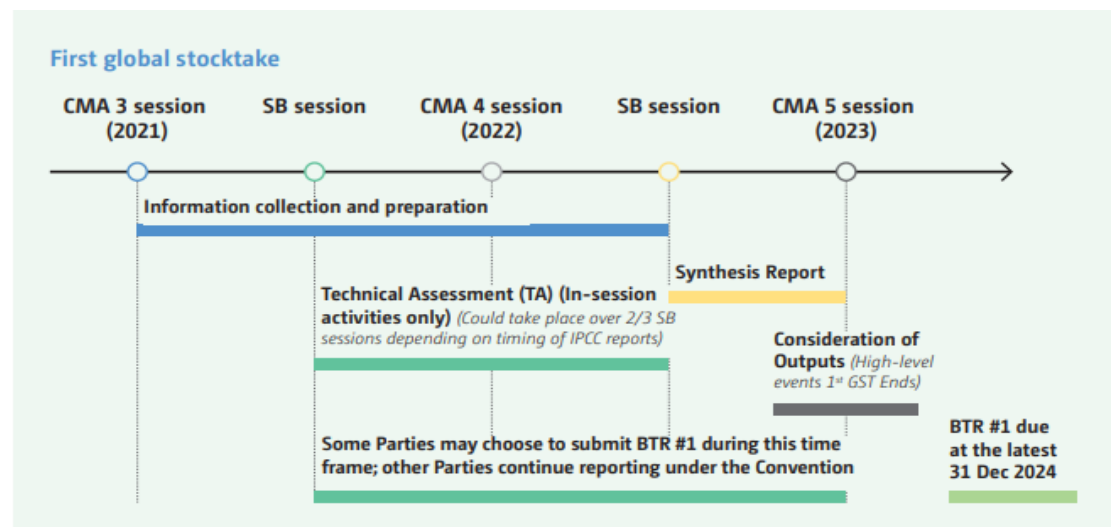
- **Technical assessment:** The information reported and reviewed under the ETF, along with other sources that make use of the best available science, including the latest IPCC reports, will inform this component. The technical assessment will include an open and inclusive dialogue among Parties and constituted bodies, forums and other entities or processes under or serving the Paris Agreement and/or Convention, as well as between Parties and experts.

The outputs of this component will be contained in summary reports for each thematic area of the global stocktake and a cross-cutting, overarching factual synthesis of the reports. The first technical assessment will take place during the two (or three) successive sessions of the subsidiary bodies preceding CMA 6 (November 2023).

- **Consideration of outputs:** These high-level events will be chaired by a high-level committee comprising the Presidency of the CMA and the Chairs of the subsidiary bodies. These events at the CMA session will include discussions on the implications of the findings of the technical assessment.

Figure 5.3 shows the timeline followed for the first global stocktake in 2023, with the cycle repeating every five year thereafter.

Figure 5.3 Timeline for the first global stocktake



 Practice activity 5.1

Please complete the following sentence with the words on the right

<p>1. The [ _____ ] will evaluate Party communications, reports from the TER teams and the FMCP, among other technical and scientific documents.</p>	<p>A. Collection and preparation of information</p>
<p>2. The [ _____ ] is a series of high-level events at the CMA session, during which discussions are held on the results and impacts of the technical assessment.</p>	<p>B. Collective progress</p>
<p>3. The [ _____ ] involves preparing synthesis reports on the thematic areas of the global stocktake. Webinars will be organized, during which the authors of the synthesis reports can further explain the assumptions and methodologies used.</p>	<p>C. Technical assessment</p>
<p>4. The global stocktake will evaluate the implementation of the Paris Agreement to assess [ _____ ] towards achieving its purpose and long-term goals in terms of mitigation and adaptation, as well as efforts made in relation to loss and damage and response measures.</p>	<p>D. Consideration of outputs</p>

## 5.3 Role of the PAICC and its role in the ETF

### 5.3.1 Overview of the PAICC

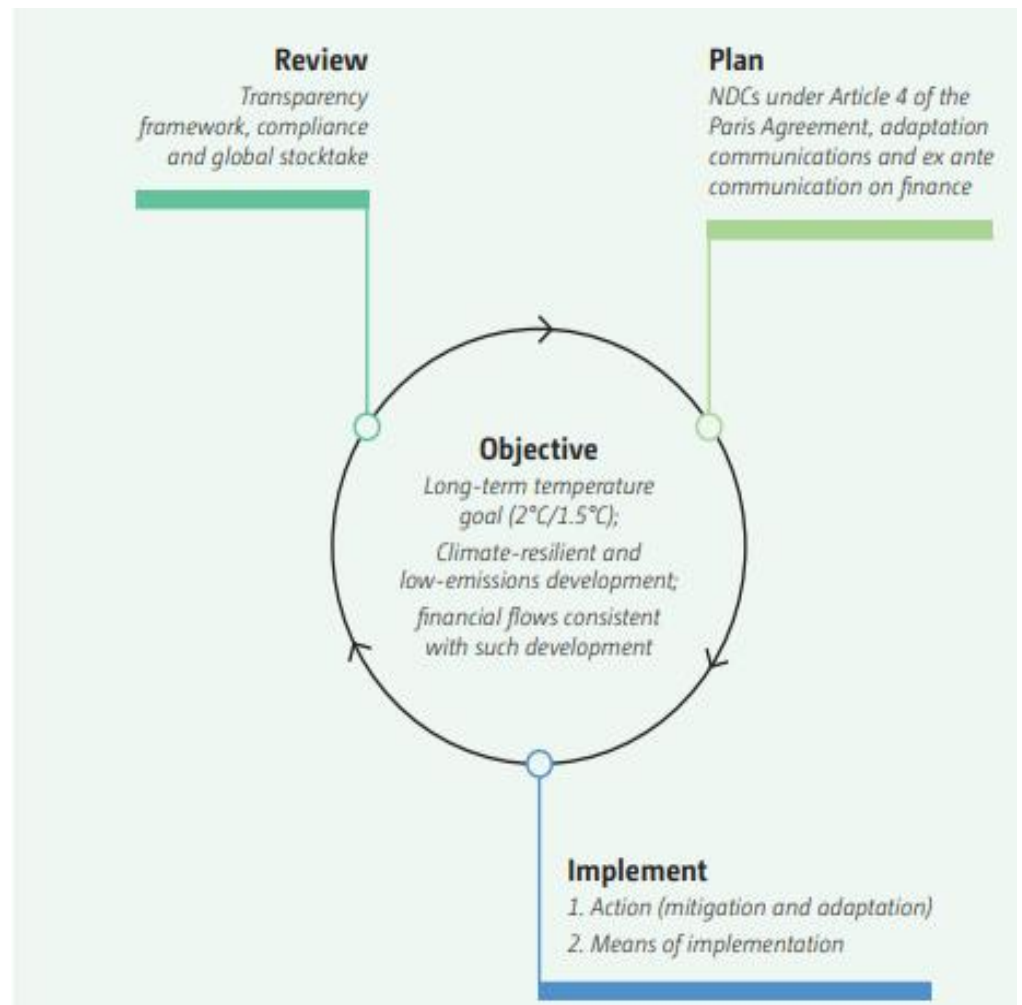
The Paris Agreement calls for the establishment of a committee that facilitates the implementation of and promotes compliance with its provisions. The PAICC is designed to be expert-based and facilitative in nature and to function in a manner that is transparent, non-adversarial and non-punitive, considering the respective national capabilities and circumstances of Parties.

The PAICC considers issues related to a Party's implementation of or compliance with the provisions of the Paris Agreement, as appropriate. In certain circumstances, the PAICC will itself initiate consideration of a matter. When a Party is unable to meet certain obligations, the PAICC will intervene and provide support to the Party. The Committee may also intervene, with the consent of the Party, in cases of *significant and persistent inconsistencies* between the information submitted and the MPGs on the basis of the recommendations made in the

most recent TER report.<sup>82</sup> When identifying such cases, the PAICC may liaise with lead reviewers as needed.<sup>83</sup>

This compliance mechanism, along with the ETF and global stocktake, is a key element of the review step in the cycle of ambition for NDCs, as shown in figure 5.4.

Figure 5.4 NDCs and the ETF in the overall cycle of ambition



### 5.3.2 ETF linkage with the PAICC

A Party may approach the Committee on its own initiative to seek its advice regarding national efforts to comply with the provisions of the MPGs. ETF-related conditions will prompt the Committee to initiate consideration of issues, for example:

- If a developed or developing country Party fails to submit a mandatory report or communication, such as an NDC, BTR or, in the case of developed country Parties, biennial

<sup>82</sup> Decision 20/CMA.1, annex, para. 22(b).

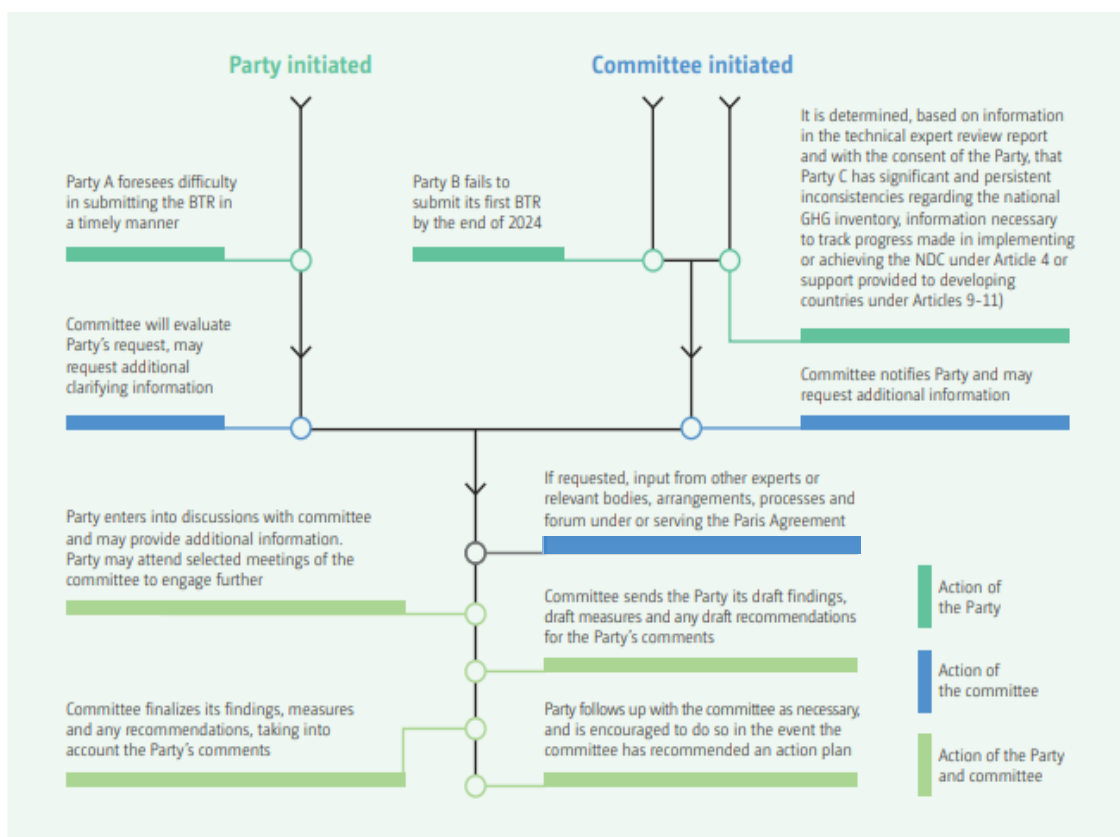
<sup>83</sup> Decision 5/CMA.3, para. 40.

quantitative and qualitative information on financial resources to be provided to developing countries;

- If a developed or developing country Party does not participate in the FMCP;
- The Committee may, with the consent of the Party concerned, engage in a facilitative consideration of issues in cases of *significant and persistent inconsistencies* in the BTR. This will be based on the recommendations made in the most recent TER reports and any written information provided by the Party during the review. The Committee shall consider that support shall be provided to developing countries for the implementation of the ETF and the flexibility provided in the MPGs for those developing countries that need it in the light of their capacities.

Figure 5.5 demonstrates the provisions relating to engagement between Parties and the PAICC regarding the ETF.

**Figure 5.5 Engagement between Parties and the Paris Agreement Implementation and Compliance Committee regarding the enhanced transparency framework**



### 5.3.3 Output of the PAICC

The Committee does not apply penalties or otherwise take enforcement action, but rather supports Parties in their efforts to implement and comply with the provisions of the Paris Agreement. To



provide such assistance, it works in close consultation with Parties, communicating both in person and in writing to understand the underlying issues.

The Committee, in consultation with the Party, may take one or more actions, including:

- Engaging in dialogue with the Party concerned to identify challenges, make recommendations and share information, including in relation to accessing financial, technological and capacity-building support, as appropriate;
- Assisting the Party in engaging with the appropriate financial, technology transfer and capacity-building bodies under the Paris Agreement to identify challenges and possible solutions and to make recommendations regarding these challenges and communicate them, with the consent of the Party concerned, to the relevant bodies;
- Recommending the development of an action plan and, if requested to do so, assisting the Party in developing the plan.

The Committee does not review the substance or content of a Party’s NDC or other communications, but rather facilitates implementation of the provisions of the Paris Agreement and reviews the timeliness of submissions. Any final measures defined by the Committee will consider the nature of the provision under discussion, the comments received from the Party and its national circumstances. A Party may follow up with the Committee if further support is needed and in cases where the Committee has recommended the development of an action plan, with a view to communicating its progress in implementing the plan.

As part of this process, the technical review team may provide expert advice to the Committee, whose modalities and procedures state that “in the course of its work, the Committee may seek expert advice, and seek and receive information from processes, bodies, arrangements and forums under or serving the Paris Agreement”.<sup>84</sup>

### Practice activity 5.2

Please identify the ETF conditions that trigger the PAICC to initiate consideration of issues [True/False].

	TRUE	FALSE
A developed country Party not participating in the FMCP triggers the consideration of issues	[ ]	[ ]
A developing country Party not submitting its BTR triggers the consideration of issues	[ ]	[ ]
A less ambitious NDC target compared with the previous NDC triggers the consideration of issues	[ ]	[ ]

<sup>84</sup> Decision 20/CMA.1, annex, para. 35.

## 5.4 Work of the constituted bodies, financial mechanisms and global initiatives to support the implementation of the ETF

### 5.4.1 The CGE under the Paris Agreement

COP 24 extended the mandate of the CGE on NCs from non-Annex I Parties by eight years, from 1 January 2019 to 31 December 2026, and renamed it the CGE.<sup>85</sup>

The primary role of the CGE under the Paris Agreement is to support developing country Parties in **implementing the ETF under Article 13**. Its work is similar to that of the group to support developing countries in fulfilling their reporting obligations under the Convention. The activities of the CGE include facilitating the provision of technical advice and support for the preparation and submission of BTRs by developing country Parties and facilitating improved reporting over time.

In addition, the CGE will provide technical advice to the secretariat in implementing the training of the **TER teams for the review processes under the Paris Agreement**. The training programme must be designed to be applicable to all Parties.

### 5.4.2 The GEF and the Global Support Programme

As an operating entity of the Financial Mechanism, the GEF, upon request, provides financial support to developing countries for the preparation of NCs and BURs. Currently, developing countries can access up to USD 352,000 for BUR reporting and USD 500,000 for NC reporting. CMA 1 requested the GEF to further support developing country Parties in preparing their first and subsequent BTRs.<sup>86</sup> Under the ETF, Parties will be able to choose whether to submit a single report or a separate NC and BTR in the years when submissions coincide and accessing separate funding for NCs will still be possible after 2024. The GEF will help Parties in identifying options for improving the efficiency of the application process, including by funding more than one report at a time.

The Global Support Programme, a programme funded by the GEF and jointly managed by the United Nations Development Programme and the United Nations Environment Programme, provides support to developing country Parties in preparing their NCs and BURs. The Global Support Programme provides Parties with technical assistance, tools, targeted guidance and training for preparing the reports. The Global Support Programme also helps countries to strengthen national institutional arrangements to support the new reporting requirements under the MPGs with a view to ensuring alignment with national development priorities and identifying priority areas of support for the implementation of NDCs.

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<sup>85</sup> Decision 11/CP.24, para. 1.

<sup>86</sup> Decision 18/CMA.1, para.8.

### 5.4.3 The Capacity Building Initiative for Transparency (CBIT)

COP 21 established the CBIT in order to strengthen the institutional and technical capacity, both before and after 2020, of developing country Parties.<sup>87</sup>

Operated by the GEF upon request of the COP, the CBIT has three aims:

- To strengthen national institutions for transparency-related activities in line with national priorities;
- To provide relevant tools, training and assistance for meeting the provisions stipulated in Article 13 of the Paris Agreement;
- To assist with the improvement of transparency over time.

#### Practice activity 5.3

Do these mechanisms or bodies support the implementation of the ETF by developed countries, developing countries or both?

	Developed countries	Developing countries
The GEF	<input type="checkbox"/>	<input type="checkbox"/>
The CBIT	<input type="checkbox"/>	<input type="checkbox"/>
Technical advice and support from the CGE for the preparation and submission of BTRs	<input type="checkbox"/>	<input type="checkbox"/>
CGE support to the training programme for experts	<input type="checkbox"/>	<input type="checkbox"/>

### 5.5 Self-check quiz

In order to complete this lesson, you are invited to take a basic test of your knowledge, which will enable you to check what you have learned so far. More than one answer could be correct.

1. What information will be considered for the global stocktake?
  - A. The state of GHG emissions and mitigation efforts undertaken by Parties, including the information provided in NIRs and BTRs.
  - B. The overall effect of Parties' NDCs and the overall progress made by Parties in implementing their NDCs, including the information necessary to track progress in implementing and achieving them.
  - C. Information on finance flows and means of implementation at a Party level, including information on support provided, needed and received.
  - D. The state of adaptation efforts, support, experience and priorities, including the information provided in adaptation communications and the BTR.

<sup>87</sup> Decision 1/CP.21, para. 84.

2. Which statement(s) is/are correct?
  - A. To facilitate and promote compliance with the provisions of the Paris Agreement.
  - B. To apply penalties or otherwise take enforcement actions.
  - C. To review the timeliness of submissions of reports (NDCs or other communications).
  - D. To help Parties to understand the underlying issues that hinder compliance with the provisions of the Paris Agreement.
  
3. Which statement(s) is/are correct?
  - A. If a Party fails to submit a mandatory report or communication of information, such as an NDC or BTR.
  - B. Low effectiveness of policies (substance or content) included in a Party's NDC or other communications.
  - C. If a Party does not participate in the FMCP.
  - D. Significant and persistent inconsistencies between the information submitted by a Party in its BTR and the requirements of the MPGs.
  
4. Which statement(s) is/are correct?
  - A. Engage in a dialogue with the Party concerned with the purpose of identifying challenges, making recommendations and sharing information, including in relation to accessing financial, technological and capacity-building support, as appropriate.
  - B. Recommend Parties to implement different policies.
  - C. Recommend the development of an action plan and, if so requested, assist the Party in developing the plan.
  - D. Request developed country Parties to work with those Parties facing challenges in complying with the provisions of the Paris Agreement.
  
5. Which statement(s) is/are correct?
  - A. To facilitate the provision of technical advice and support for the preparation and submission of their BTRs of developing country Parties.
  - B. To recommend that developing country Parties implement different policies.
  - C. To provide technical advice to the secretariat in implementing the training of the TER teams under the Paris Agreement.
  - D. To provide financial support to developing country Parties for preparing their BTRs.

## 5.6 Lesson summary

- The global stocktake is a Party-driven process in which non-Party stakeholders can also participate. It aims to technically assess all inputs related to mitigation, adaptation and means of implementation and support, in a Party-driven and cross-cutting manner, in the light of equity and best available science.
- The outcome of the global stocktake is to inform Parties in updating and enhancing their actions and support, in a nationally determined manner, and to enhance international cooperation for climate action, as reflected in Parties' subsequent NDCs.
- The PAICC is a mechanism for facilitating and promoting compliance with the provisions of the Paris Agreement. When a Party is unable to meet certain obligations (e.g. to submit mandated reports), the Committee will intervene and provide support to the Party.
- The CGE will continue to be active, including by providing developing countries with technical advice and support for preparing their BTRs and providing technical advice to the secretariat on implementing the training of TER teams.
- The GEF provides financial support to the activities and projects of developing country Parties, including their reporting of NCs and BURs.
- The CBIT is an initiative for assisting developing country Parties to strengthen their institutional and technical capacity at national level for implementing the ETF.

## 5.7 Answer key

### Practice activity 5.1

Please complete the following sentences with the words on the right:

1.	The <b>[technical assessment]</b> will evaluate Party communications, reports from the TER teams and the FMCP, among other technical and scientific documents.
2.	The <b>[consideration of outputs]</b> is a series of high-level events at the CMA session, during which discussions are held on the results and impacts of the technical assessment.
3.	The <b>[collection and preparation of information]</b> involves preparing synthesis reports on the thematic areas of the global stocktake. Webinars will be organized, during which the authors of the synthesis reports can further explain the assumptions and methodologies used.
4.	The global stocktake will evaluate the implementation of the Paris Agreement to assess <b>[collective progress]</b> towards achieving its purpose and long-term goals in terms of mitigation and adaptation, as well as efforts made in relation to loss and damage and response measures.

### Practice activity 5.2

Please identify the ETF conditions that trigger the PAICC to initiate consideration of issues [True/False].

	TRUE	FALSE
A developed country Party not participating in the FMCP triggers the consideration of issues	[ x ]	[ ]
A developing country Party not submitting its BTR triggers the consideration of issues	[ x ]	[ ]
A less ambitious NDC target compared with the previous NDC triggers the consideration of issues	[ ]	[ x ]

### Practice activity 5.3

Do these mechanisms or bodies support the implementation of the ETF by developed countries, developing countries or both.

	Developed countries	Developing countries
The GEF	<input type="text" value="NA"/>	<input type="text" value="x"/>
The CBIT	<input type="text" value="NA"/>	<input type="text" value="x"/>

Technical advice and support from the CGE for the preparation and submission of BTRs	NA	x
CGE support to the training programme for experts	x	x

### Self-check quiz

1. **The correct answers are A, B and D.** The global stocktake aims to assess collective progress made by all Parties towards achieving the purpose and long-term goals of the Paris Agreement rather than focus on any individual Party.
2. **The correct answer is B.** The PAICC is expert-based and facilitative in nature and to function in a manner that is transparent, non-adversarial and non-punitive, considering the respective national capabilities and circumstances of Parties. It does not apply penalties or otherwise take enforcement action.
3. **The correct answers are A, C and D.** The PAICC does not review the substance or content of a Party's NDC or other communications, but rather facilitates implementation of the provisions of the Paris Agreement and reviews the timeliness of submissions.
4. **The correct answers are A and C.** The PAICC neither recommends Parties to implement different policies nor requests developed country Parties to work with those Parties facing challenges in complying with the provisions of the Paris Agreement.
5. **The correct answers are A and C.** The CGE is tasked to provide technical advice and support to (i) developing country Parties to prepare and submit their BTRs and (ii) the secretariat in implementing the training of the TER teams under the Paris Agreement.

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