



United Nations

ADVANCE VERSION

FCCC/PA/CMA/2018/3/Add.2



Framework Convention on  
Climate Change

Distr.: General  
19 March 2019

Original: English

**Conference of the Parties serving as the meeting  
of the Parties to the Paris Agreement**

**Report of the Conference of the Parties serving as the  
meeting of the Parties to the Paris Agreement on the  
third part of its first session, held in Katowice from  
2 to 15 December 2018**

**Addendum**

**Part two: Action taken by the Conference of the Parties serving as the  
meeting of the Parties to the Paris Agreement**

Contents

**Decisions adopted by the Conference of the Parties serving as  
the meeting of the Parties to the Paris Agreement**

<i>Decision</i>	<i>Page</i>
<a href="#">13/CMA.1</a> Matters relating to the Adaptation Fund .....	2
<a href="#">14/CMA.1</a> Setting a new collective quantified goal on finance in accordance with decision 1/CP.21, paragraph 53 .....	3
<a href="#">15/CMA.1</a> Technology framework under Article 10, paragraph 4, of the Paris Agreement .....	4
<a href="#">16/CMA.1</a> Scope of and modalities for the periodic assessment referred to in paragraph 69 of decision 1/CP.21 .....	11
<a href="#">17/CMA.1</a> Ways of enhancing the implementation of education, training, public awareness, public participation and public access to information so as to enhance actions under the Paris Agreement.....	15
<a href="#">18/CMA.1</a> Modalities, procedures and guidelines for the transparency framework for action and support referred to in Article 13 of the Paris Agreement.....	18
<a href="#">19/CMA.1</a> Matters relating to Article 14 of the Paris Agreement and paragraphs 99–101 of decision 1/CP.21 .....	53
<a href="#">20/CMA.1</a> Modalities and procedures for the effective operation of the committee to facilitate implementation and promote compliance referred to in Article 15, paragraph 2, of the Paris Agreement.....	59
 <i>Resolution</i>	
<a href="#">3/CMA.1</a> Expression of gratitude to the Government of the Republic of Poland and the people of the city of Katowice .....	65

## Decision 13/CMA.1

### Matters relating to the Adaptation Fund

*The Conference of the Parties serving as the meeting of the Parties to the Paris Agreement,*

1. *Decides* that the Adaptation Fund shall serve the Paris Agreement under the guidance of, and be accountable to, the Conference of the Parties serving as the meeting of the Parties to the Paris Agreement with respect to all matters relating to the Paris Agreement, effective 1 January 2019, subject to the decision on this matter made by the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol;
2. *Recommends* that the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol decide that the Adaptation Fund will continue to be financed by the activities under Articles 6, 12 and 17 of the Kyoto Protocol;
3. *Also recommends* to the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol that the Adaptation Fund shall exclusively serve the Paris Agreement once the share of proceeds under Article 6, paragraph 4, of the Paris Agreement becomes available;
4. *Invites* the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol to ensure that developing country Parties and developed country Parties that are Parties to the Paris Agreement are eligible for membership on the Adaptation Fund Board;
5. *Decides* that, when the Adaptation Fund serves the Paris Agreement, it shall be financed from the share of proceeds from the mechanism established by Article 6, paragraph 4, of the Paris Agreement and from a variety of voluntary public and private sources;
6. *Invites* the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol to request the Adaptation Fund Board to consider the rules of procedure of the Board, the arrangements of the Adaptation Fund with respect to the Paris Agreement and the implications of the Adaptation Fund receiving the share of proceeds from activities under Articles 6, 12 and 17 of the Kyoto Protocol when the Adaptation Fund serves the Paris Agreement, with a view to forwarding recommendations to the Conference of the Parties serving as the meeting of the Parties to the Paris Agreement for consideration at its second session (December 2019).

*26<sup>th</sup> plenary meeting  
15 December 2018*

## **Decision 14/CMA.1**

### **Setting a new collective quantified goal on finance in accordance with decision 1/CP.21, paragraph 53**

*The Conference of the Parties serving as the meeting of the Parties to the Paris Agreement,*

*Recalling* decision 1/CP.21, paragraph 53,

1. *Decides* to initiate at its third session (November 2020), in accordance with Article 9, paragraph 3, of the Paris Agreement, deliberations on setting a new collective quantified goal from a floor of USD 100 billion per year in the context of meaningful mitigation actions and transparency of implementation and taking into account the needs and priorities of developing countries;
2. *Agrees* to consider, in its deliberations referred to in paragraph 1 above, the aim to strengthen the global response to the threat of climate change in the context of sustainable development and efforts to eradicate poverty, including by making finance flows consistent with a pathway towards low greenhouse gas emissions and climate-resilient development.

*26<sup>th</sup> plenary meeting  
15 December 2018*

## Decision 15/CMA.1

### Technology framework under Article 10, paragraph 4, of the Paris Agreement

*The Conference of the Parties serving as the meeting of the Parties to the Paris Agreement,*

*Recalling* Article 10, paragraph 1, of the Paris Agreement, regarding the long-term vision for technology development and transfer,

*Also recalling* Article 10, paragraphs 3 and 4, of the Paris Agreement,

*Further recalling* decision 1/CP.21, paragraphs 67 and 68,

*Recognizing* the need to ensure that the operationalization of the technology framework undertaken by the Technology Mechanism to support the achievement of the Paris Agreement is consistent with the long-term vision for technology development and transfer and Article 2 of the Paris Agreement,

*Noting with appreciation* the work undertaken by the Subsidiary Body for Scientific and Technological Advice in elaborating the technology framework in accordance with decision 1/CP.21, paragraph 67,

1. *Adopts* the technology framework under Article 10, paragraph 4, of the Paris Agreement as elaborated in the annex;
2. *Decides* that the Technology Executive Committee and the Climate Technology Centre and Network, consistently with their respective functions, mandates and modalities of work, shall implement the technology framework in close collaboration under the guidance of the Conference of the Parties serving as the meeting of the Parties to the Paris Agreement;
3. *Requests* the Technology Executive Committee and the Climate Technology Centre and Network:
  - (a) To incorporate the guidance contained in the technology framework into their respective workplans and programmes of work, which should also include methods for the monitoring and evaluation of their activities;
  - (b) To include information in their joint annual report for 2019 on how they incorporated the guidance contained in the technology framework into their respective workplans and programmes of work as referred to in paragraph 3(a) above;
4. *Takes note* of the recommendation of the Technology Executive Committee and the Climate Technology Centre and Network to prepare and submit their joint annual report to both the Conference of the Parties and the Conference of the Parties serving as the meeting of the Parties to the Paris Agreement;<sup>1</sup>
5. *Requests* the Technology Executive Committee and the Climate Technology Centre and Network to report on the progress of their work and challenges and lessons learned in implementing the technology framework in their joint annual reports;
6. *Reiterates* the importance of the support, including financial support, that shall be provided to developing country Parties for strengthening cooperative action on technology development and transfer at different stages of the technology cycle, and *agrees* that the technology framework can facilitate the strengthening of such support;
7. *Decides* that the outcome of and/or recommendations resulting from the periodic assessment referred to in decision 1/CP.21, paragraph 69, shall be considered when updating the technology framework;
8. *Requests* the secretariat to facilitate the implementation of the technology framework;

---

<sup>1</sup> FCCC/SB/2017/3, paragraph 43.

9. *Also requests* that the actions of the secretariat called for in this decision be undertaken subject to the availability of financial resources.

## **Annex**

### **Technology framework under Article 10, paragraph 4, of the Paris Agreement**

#### **I. Purpose**

1. The purpose of the technology framework under the Paris Agreement is to provide overarching guidance to the work of the Technology Mechanism in promoting and facilitating enhanced action on technology development and transfer in order to support the implementation of the Paris Agreement in pursuit of the long-term vision referred to in its Article 10, paragraph 1. The long-term vision for technology development and transfer shared by Parties relates to the importance of fully realizing technology development and transfer in order to improve resilience to climate change and reduce greenhouse gas emissions.
2. The technology framework can play a strategic role in improving the effectiveness and efficiency of the work of the Technology Mechanism, which consists of the Technology Executive Committee (TEC) and the Climate Technology Centre and Network (CTCN), by addressing the transformational changes envisioned in the Paris Agreement and the long-term vision for technology development and transfer.

#### **II. Principles**

3. The principles of the technology framework, which are coherence, inclusiveness, results-oriented approach, transformational approach and transparency, should guide the Technology Mechanism in implementing the Paris Agreement, as follows:
  - (a) Align with the long-term vision for technology development and transfer and other provisions of the Paris Agreement, national plans and strategies under the Convention and actions undertaken by relevant institutions in the international climate regime and beyond;
  - (b) Be designed and implemented in a manner that facilitates the active participation of all relevant stakeholders and takes into account sustainable development, gender, the special circumstances of the least developed countries and small island developing States, and the enhancement of indigenous capacities and endogenous technologies;
  - (c) Be results-oriented in terms of output, outcome and impact;
  - (d) Address the transformational changes envisioned in the Paris Agreement;
  - (e) Be designed and implemented in a manner that enhances the transparency of the results, costs and process, such as through planning, resource management and reporting on activities and support.

#### **III. Key themes**

4. The following key themes for the technology framework represent focused areas of action to be undertaken under the framework:
  - (a) Innovation;
  - (b) Implementation;
  - (c) Enabling environment and capacity-building;
  - (d) Collaboration and stakeholder engagement;
  - (e) Support.

## A. Innovation

5. As stipulated in Article 10, paragraph 5, of the Paris Agreement, accelerating, encouraging and enabling innovation is critical for an effective, long-term global response to climate change and promoting economic growth and sustainable development. To achieve the purpose and goals of the Paris Agreement, there is a pressing need to accelerate and strengthen technological innovation so that it can deliver environmentally and socially sound, cost-effective and better-performing climate technologies on a larger and more widespread scale.

6. Actions and activities under this key theme should therefore accelerate and scale up innovation at different stages of the technology cycle, addressing both adaptation and mitigation in a balanced manner to help countries to build resilience and reduce their emissions, and be undertaken in a manner that enhances the effective participation of developing country Parties, fosters sustainable development and ensures gender responsiveness.

7. Fostering innovation could be done through new collaborative approaches to climate technology research, development and demonstration (RD&D); the creation and promotion of relevant enabling policy to incentivize and nurture a supportive environment for innovation; and the active engagement of the private sector and closer collaboration between the public and private sector.

8. Actions and activities in this area of work include:

(a) Supporting countries in incentivizing innovation by improving the policy environments, strategies, legal and regulatory frameworks, and institutional arrangements for establishing and/or strengthening their national systems of innovation;

(b) Providing information and facilitating the sharing of information on international technology RD&D partnerships and initiatives, good practices and lessons learned from countries' climate technology RD&D policies and activities;

(c) Promoting the development, deployment and dissemination of existing innovative technologies and accelerating the scale-up and diffusion of emerging climate technologies;

(d) Supporting countries in developing long-term technological transition pathways towards the widespread uptake of climate technologies in the context of climate resilience and low greenhouse gas emission development;

(e) Promoting collaboration with international technology RD&D partnerships and initiatives to stimulate climate technology RD&D;

(f) Supporting countries in initiating joint climate technology RD&D activities;

(g) Identifying ways to increase the effective participation of developing country Parties in collaborative approaches to RD&D;

(h) Promoting the engagement of the private sector in the development of new and innovative climate technologies, including through:

(i) Raising awareness of future market opportunities in climate technology innovation;

(ii) Identifying ways to incentivize their participation;

(i) Promoting partnerships between the public and private sector in the development and transfer of climate technologies.

## B. Implementation

9. The Paris Agreement highlights the importance of technology for the implementation of mitigation and adaptation actions under the Agreement. The Technology Mechanism should facilitate and promote enhanced action on technology to help countries to achieve the

purpose and goals of the Paris Agreement, while at the same time recognizing the importance of rapidly accelerating the transformational changes towards climate resilience and low greenhouse gas emission development.

10. Actions and activities under this key theme should therefore facilitate the implementation of collaborative technology development and transfer, build on the past and ongoing work of the Technology Mechanism and take into account the role of North–South, South–South, triangular and regional collaboration in facilitating implementation.

11. Actions and activities under this key theme should also facilitate the implementation of mitigation and adaptation action identified using planning tools and processes such as nationally determined contributions, long-term low greenhouse gas emission development strategies, technology needs assessments (TNAs), national adaptation plans, technology road maps and other relevant policies, and facilitate overcoming challenges by implementing such action, as appropriate.

12. Actions and activities in this area of work include:

(a) Facilitating the undertaking and updating of TNAs, as well as enhancing the implementation of their results, particularly technology action plans and project ideas, and capacity-building related to TNAs;

(b) Promoting the link or alignment of TNAs with nationally determined contributions and national adaptation plans in order to increase coherence between the implementation of those national plans with national strategies to achieve climate-resilient and low-emission development;

(c) Reviewing the TNA guidelines and updating them as necessary with a view to TNAs leading to plans and implementation that are aligned with the transformational changes envisioned in the Paris Agreement;

(d) Identifying and developing recommendations on approaches, tools and means, as appropriate, for the assessment of the technologies that are ready to transfer;

(e) Identifying and developing recommendations for the enhancement of enabling environments for and the addressing of barriers to the development and transfer of socially and environmentally sound technologies.

### **C. Enabling environment and capacity-building**

13. In the context of technology development and transfer, countries may face various challenges. Creating and enhancing enabling environments for the development and transfer of socially and environmentally sound technologies should consider the challenges faced by countries, and the different needs of the countries in overcoming such challenges.

14. Capacity-building for technology development and transfer is a cross-cutting and comprehensive issue. Although initiatives and activities on capacity-building for technology development and transfer are already being undertaken, further measures in this area are needed to develop, strengthen and enhance countries' capabilities to take effective climate action in the context of the Paris Agreement.

15. Actions and activities under this key theme should therefore foster the creation and enhancement of an enabling environment, including policy and regulatory environments for technology development and transfer, and strengthen the capacity of countries to effectively address various challenges.

16. Actions and activities in this area of work include:

(a) Enhancing public awareness on climate technology development and transfer;

(b) Facilitating countries in enhancing an investment-friendly environment, including national strategies and action plans, a policy environment, legal and regulatory frameworks and other institutional arrangements;



- (c) Facilitating countries in enhancing an enabling environment to promote endogenous and gender-responsive technologies for mitigation and adaptation actions;
- (d) Assisting countries in developing and implementing policies for enabling environments to incentivize the private and public sector to fully realize the development and transfer of climate technologies;
- (e) Assisting governments in playing a key role in fostering private sector involvement by designing and implementing policies, regulations and standards that create enabling environments and favourable market conditions for climate technologies;
- (f) Facilitating information-sharing and networking among relevant organizations and institutions to create synergies and to enable the exchange among relevant players of best practices, experience and knowledge on technology development and transfer;
- (g) Formulating and analysing information on capacity-building activities at different stages of the technology cycle;
- (h) Catalysing the development and enhancement of endogenous capacities for climate-related technologies and harnessing indigenous knowledge;
- (i) Enhancing collaboration with existing capacity-building organizations and institutions, including those under the Convention, to create synergies in a manner that enhances efficiency and avoids duplication of work;
- (j) Enhancing the capacity of national designated entities (NDEs) of all Parties, especially those in developing countries, to fulfil their roles;
- (k) Enhancing the capacities of Parties to plan, monitor and achieve technological transformation in accordance with the purpose and goals of the Paris Agreement.

#### **D. Collaboration and stakeholder engagement**

17. Collaboration with and engagement of stakeholders will enhance interaction between those involved in the development and transfer of climate technology and help to share knowledge and mobilize support. In this context, stakeholders will provide important input to the work of the Technology Mechanism.

18. Therefore, the Technology Mechanism shall work in an open and inclusive, including gender-responsive, manner whereby stakeholders are invited to participate and actively engage. Collaboration with and engagement of stakeholders should take place at different stages of the technology cycle.

19. Enhanced engagement of stakeholders at the local, regional, national and global level will be beneficial for the Technology Mechanism. Further, activities for cooperation on technology development and transfer across relevant organizations, institutions and initiatives should be harmonized and synergized to avoid duplication and ensure consistency and coherence.

20. Actions and activities in this area of work include:

- (a) Enhancing engagement and collaboration with relevant stakeholders, including local communities and authorities, national planners, the private sector and civil society organizations, in the planning and implementation of Technology Mechanism activities;
- (b) Enhancing engagement and collaboration with the private sector, on a voluntary basis, to leverage expertise, experience and knowledge regarding effective enabling environments that support the implementation of the Paris Agreement;
- (c) Enhancing engagement between NDEs and relevant stakeholders, including by providing guidance and information;
- (d) Enhancing collaboration and synergy with relevant international organizations, institutions and initiatives, including academia and the scientific community, to leverage their specific expertise, experience, knowledge and information, particularly on new and innovative technologies.

## E. Support

21. Article 10, paragraph 6, of the Paris Agreement states that support, including financial support, shall be provided to developing country Parties for the implementation of that Article, including for strengthening cooperative action on technology development and transfer at different stages of the technology cycle, with a view to achieving a balance between support for mitigation and adaptation.

22. The understanding of support under this key theme is broader than just financial support, as it may include all aspects of support for the implementation of Article 10 of the Paris Agreement. The support should be provided for all key themes of the technology framework, taking into account the gender perspective and endogenous and indigenous aspects.

23. The provision and mobilization of various types of support coming from a wide variety of sources are crucial to implementing Article 10 of the Paris Agreement and can enhance cooperative action on technology development and transfer.

24. Monitoring and evaluation of the Technology Mechanism can enhance the effectiveness of the support provided.

25. Actions and activities in this area of work include:

(a) Enhancing the collaboration of the Technology Mechanism with the Financial Mechanism for enhanced support for technology development and transfer;

(b) Identifying and promoting innovative finance and investment at different stages of the technology cycle;

(c) Providing enhanced technical support to developing country Parties, in a country-driven manner, and facilitating their access to financing for innovation, including for RD&D, enabling environments and capacity-building, developing and implementing the results of TNAs, and engagement and collaboration with stakeholders, including organizational and institutional support;

(d) Enhancing the mobilization of various types of support, including pro bono and in-kind support, from various sources for the implementation of actions and activities under each key theme of the technology framework;

(e) Developing and/or enhancing a system for monitoring and tracking of actions and activities undertaken, and support received, by the Technology Mechanism to implement the technology framework, with a view to such information maybe also contributing to the enhanced transparency framework referred to in Article 13 and the global stocktake referred to in Article 14 of the Paris Agreement.

*26<sup>th</sup> plenary meeting  
15 December 2018*

## Decision 16/CMA.1

### Scope of and modalities for the periodic assessment referred to in paragraph 69 of decision 1/CP.21

*The Conference of the Parties serving as the meeting of the Parties to the Paris Agreement,*

*Recalling* decision 1/CP.21, in particular paragraph 69, and decision 1/CP.23,

1. *Adopts* the scope of and modalities for the periodic assessment of the effectiveness and adequacy of the support provided to the Technology Mechanism in supporting the implementation of the Paris Agreement on matters relating to technology development and transfer, in accordance with decision 1/CP.21, as contained in the annex;
2. *Decides* that the periodic assessment referred to in paragraph 1 above should be undertaken in a transparent, inclusive and participatory manner;
3. *Also decides* to initiate the first periodic assessment referred to in paragraph 1 above at its fourth session (November 2021) in accordance with the scope and modalities as contained in the annex, or as these may be subsequently amended, with a view to completing the first periodic assessment at its fifth session (November 2022);
4. *Further decides* that the outcomes of the periodic assessment referred to in paragraph 1 above should serve as an input to the global stocktake referred to in Article 14 of the Paris Agreement;
5. *Decides* that the outcome of the periodic assessment should guide improved effectiveness and enhanced support to the Technology Mechanism in supporting the implementation of the Paris Agreement;
6. *Requests* the Subsidiary Body for Implementation to initiate, at its fifty-first session (December 2019), consideration of the alignment between processes pertaining to the review of the Climate Technology Centre and Network<sup>1</sup> and the periodic assessment referred to in paragraph 1 above with a view to recommending a draft decision for consideration and adoption by the Conference of the Parties serving as the meeting of the Parties to the Paris Agreement at its third session (November 2020);
7. *Also requests* that the actions of the secretariat called for in this decision be undertaken subject to the availability of financial resources.

---

<sup>1</sup> In accordance with decisions 2/CP.17, 14/CP.18 and 12/CP.24.

## Annex

### **Scope of and modalities for the periodic assessment referred to in paragraph 69 of decision 1/CP.21**

#### **I. Scope**

1. The mandate is to undertake a periodic assessment of the effectiveness and adequacy of the support provided to the Technology Mechanism in supporting the implementation of the Paris Agreement on matters relating to technology development and transfer (hereinafter referred to as the periodic assessment).<sup>1</sup> The scope has two elements:<sup>2</sup>

(a) The effectiveness of the Technology Mechanism in supporting the implementation of the Paris Agreement on matters relating to technology development and transfer;

(b) The adequacy of support provided to the Technology Mechanism in supporting the implementation of the Paris Agreement on matters relating to technology development and transfer.

#### **A. Effectiveness of the Technology Mechanism**

2. On the effectiveness of the Technology Mechanism in supporting the implementation of the Paris Agreement, as guided by the technology framework,<sup>3</sup> the scope may include the assessment of the impact, outputs and outcomes of the Technology Mechanism, in particular, how it has:

(a) Facilitated the transformational changes envisioned in the Paris Agreement;

(b) Contributed to the achievement of the long-term vision referred to in Article 10, paragraph 1, of the Paris Agreement;

(c) Contributed to strengthening cooperative action on technology development and transfer;

(d) Enhanced the implementation of the technology elements of nationally determined contributions and technology needs assessments;

(e) Resulted in quantitative impacts through technical assistance, including potential emission reductions, the number of technology solutions delivered, and investments leveraged;

(f) Undertaken its work in a cost-effective and efficient manner;

(g) Achieved success in terms of how the bodies of the Technology Mechanism have implemented their workplans;

(h) Overcome challenges;

(i) Identified opportunities for improvement;

(j) Collaborated with other stakeholders in supporting the implementation of the Paris Agreement on matters relating to technology development and transfer;

(k) Responded to the overarching guidance provided by the technology framework referred to in Article 10 of the Paris Agreement, including aligning its work with the themes of the technology framework;

---

<sup>1</sup> Decision 1/CP.21, paragraph 69.

<sup>2</sup> See document FCCC/SBI/2016/8, paragraph 94.

<sup>3</sup> Decision 15/CMA.1.

(l) Responded to existing mandates under the Paris Agreement and to guidance from Parties.

3. To undertake the assessment of effectiveness referred to in paragraph 2 above, the work of the Technology Mechanism in supporting the implementation of the Paris Agreement on matters relating to cooperative action on technology development and transfer to be assessed may include:

(a) The work of the Technology Executive Committee (TEC) in supporting the implementation of the Paris Agreement on matters relating to technology development and transfer;

(b) The work of the Climate Technology Centre and Network (CTCN) in supporting the implementation of the Paris Agreement on matters relating to technology development and transfer, including in relation to:

(i) The implementation of its three core services: responding to requests from developing countries; fostering collaboration and sharing of information; and strengthening networks, partnerships and capacity-building;

(ii) Its institutional arrangements;

(c) The collaboration between the TEC and the CTCN, and the linkages between these bodies and institutional arrangements under the Paris Agreement;

(d) The work on technology needs assessments and the implementation of technology action plans to support the implementation of the Paris Agreement on matters relating to technology development and transfer.

## **B. Adequacy of the support provided to the Technology Mechanism**

4. On the adequacy of the support provided to the Technology Mechanism<sup>4</sup> in supporting the implementation of the Paris Agreement on matters relating to technology development and transfer, the scope may include, but is not limited to, the assessment of:

(a) The recipients of the support provided:

(i) The TEC;

(ii) The CTCN, including the national designated entities;

(b) The sources of support provided;

(c) The types of support provided;

(d) How the support provided was used, taking into account actions at the different stages of the technology cycle:

(i) Mitigation actions;

(ii) Adaptation actions;

(iii) Cross-cutting actions;

(e) The level of support provided and whether it has changed over time;

(f) The extent to which the support has met the budgets and plans of the Technology Mechanism.

## **II. Modalities**

5. The scope and modalities for the periodic assessment of the effectiveness and adequacy of the support provided to the Technology Mechanism should follow international

<sup>4</sup> In line with decision 2/CP.17, paragraphs 139–141.

best practices for conducting assessments. These best practices include the following five evaluation criteria categories: relevance, effectiveness, efficiency, impact and sustainability.

6. The periodic assessment is undertaken by the Conference of the Parties serving as the meeting of the Parties to the Paris Agreement (CMA). The CMA:

- (a) Initiates the periodic assessment in accordance with paragraph 10 below;
- (b) Provides guidance to the secretariat and requests it to prepare interim and final reports on the periodic assessment;
- (c) Finalizes the periodic assessment, with possible outputs in accordance with paragraph 11 below.

7. The Subsidiary Body for Implementation (SBI) supports the CMA by:

- (a) Considering the interim report and providing guidance to the secretariat for preparing the final report. The SBI does this in its first sessional period in the year after that in which the CMA initiated the assessment;
- (b) Preparing draft recommendations for consideration and adoption by the CMA, as appropriate, based on a consideration of the final report.

8. The periodic assessment is both qualitative and quantitative:

- (a) Qualitative elements may include reviewing existing reports and gathering information from stakeholders;
- (b) Quantitative elements may include collecting data and undertaking statistical analysis.

9. The sources of information for the periodic assessment include, but are not limited to:

- (a) The technology framework;
- (b) The joint annual reports of the TEC and the CTCN to the CMA;
- (c) Other UNFCCC reporting documents and processes relevant to the implementation of the Paris Agreement on matters relating to technology development and transfer;
- (d) Information provided by relevant stakeholders;
- (e) Documents and outcomes resulting from the independent reviews of the CTCN;
- (f) Where relevant, reports of the Intergovernmental Panel on Climate Change.

10. The periodic assessment:

- (a) Is undertaken every five years;
- (b) Takes one year or less to complete.

11. The outputs of the periodic assessment include, as appropriate:

- (a) A report to the CMA through the SBI;
- (b) Recommendations of the CMA on updating the technology framework.

*26<sup>th</sup> plenary meeting  
15 December 2018*

## Decision 17/CMA.1

### **Ways of enhancing the implementation of education, training, public awareness, public participation and public access to information so as to enhance actions under the Paris Agreement**

*The Conference of the Parties serving as the meeting of the Parties to the Paris Agreement,*

*Recalling* Article 12 of the Paris Agreement, which provides that Parties shall cooperate in taking measures, as appropriate, to enhance climate change education, training, public awareness, public participation and public access to information,

*Reaffirming* the importance of all elements of Article 6 of the Convention and of Article 12 of the Paris Agreement for the implementation of the ultimate objective of the Convention and the Paris Agreement, respectively,

*Recognizing* the key role that Action for Climate Empowerment can play at all stages and levels of the implementation of the Paris Agreement,

*Recalling* decision 15/CP.18, which established the Doha work programme on Article 6 of the Convention and defined key areas of work and activities for the implementation of Article 6 of the Convention,

*Also recalling* decision 17/CP.22, in which it was decided that efforts related to the implementation of Article 6 of the Convention shall be referred to as Action for Climate Empowerment,

*Recognizing* that Action for Climate Empowerment plays a key role in promoting changes in lifestyles, attitudes and behaviours needed to foster low-emission, climate-resilient and sustainable development,

*Reaffirming* the key role that a broad range of stakeholders, inter alia national governments, regions as applicable, cities, education and cultural institutions, museums, the private sector, intergovernmental organizations, non-governmental organizations, international organizations, decision makers, scientists, the media, teachers, youth, women and indigenous peoples, play in ensuring Action for Climate Empowerment,

*Acknowledging* the importance of linkages between activities taken to support Article 6 of the Convention, Article 12 of the Paris Agreement and the Sustainable Development Goals,

1. *Decides* that efforts related to the implementation of Article 12 of the Paris Agreement will also be referred to as Action for Climate Empowerment;
2. *Invites* the Conference of the Parties, when reviewing the Doha work programme on Article 6 of the Convention in accordance with decision 15/CP.18, to also include efforts related to the implementation of Article 12 of the Paris Agreement;
3. *Decides* that the focal points nominated under Article 6 of the Convention will also serve as focal points under Article 12 of the Paris Agreement and will be referred to as Action for Climate Empowerment focal points in the context of the Paris Agreement as well;

4. *Encourages* Parties that have not already designated an Action for Climate Empowerment focal point to do so and to provide the necessary institutional support for the focal point's activities, as appropriate;
5. *Also encourages* Parties to continue to promote the systematic integration of gender-sensitive and participatory education, training, public awareness, public participation, public access to information, and regional and international cooperation into all mitigation and adaptation activities implemented under the Convention, as well as under the Paris Agreement, as appropriate, including into the processes of designing and implementing their nationally determined contributions, national adaptation plans, long-term low greenhouse gas emission development strategies and climate policies;
6. *Invites* Parties to develop and implement national strategies on Action for Climate Empowerment in relation to Article 12 of the Paris Agreement taking into account their national circumstances;
7. *Also invites* Parties and non-Party stakeholders to consider relevant activities that enhance Action for Climate Empowerment, as referred to in the reports on the Action for Climate Empowerment workshop<sup>1</sup> held at the first part of the forty-eighth session of the Subsidiary Body for Implementation and the Action for Climate Empowerment youth forum,<sup>2</sup> when developing and implementing Action for Climate Empowerment, taking into consideration national circumstances;
8. *Encourages* Parties to include, as appropriate, information on how education, training, public awareness, public participation, public access to information, and regional and international cooperation are considered in the preparation and implementation of the actions under the Paris Agreement;
9. *Considers* that Parties and stakeholders may, as appropriate, take into account actions to enhance climate change education, training, public awareness, public participation, public access to information, and regional and international cooperation in the context of Article 14 of the Paris Agreement;
10. *Encourages* Parties to foster public participation and collaborate with, inter alia, regional as applicable and local authorities, the scientific community, universities, the private sector, civil society organizations and youth to scale up the implementation of Action for Climate Empowerment;
11. *Invites* Parties, multilateral and bilateral institutions, private sector and other potential sources to support activities related to the implementation of Article 12 of the Paris Agreement;
12. *Requests* the secretariat:
  - (a) To continue organizing, in collaboration with Parties and international organizations, training, workshops, webinars and other activities to exchange good practices and to build and strengthen existing skills and the capacity of the Action for Climate Empowerment national focal points and stakeholders;
  - (b) To organize the 7<sup>th</sup> Dialogue on Action for Climate Empowerment in 2019 to advance the discussions on the final review of the Doha work programme and ways of enhancing the implementation of education, training, public awareness, public participation, public access to information, and international and regional cooperation so as to also enhance actions under Article 12 of the Paris Agreement;
  - (c) To continue organizing awareness-raising campaigns and training activities to empower children and youth to support and lead climate action;
  - (d) To continue collaborating with Parties, non-Party stakeholders and regional and international organizations with a view to catalysing the implementation of Article 12 of the Paris Agreement;

---

<sup>1</sup> See <https://unfccc.int/sites/default/files/resource/Action%20for%20Climate%20Empowerment%20Workshop%20outcomes.pdf>.

<sup>2</sup> See [https://unfccc.int/sites/default/files/resource/180505\\_Outcomes%20AYF%20-%20Final.pdf](https://unfccc.int/sites/default/files/resource/180505_Outcomes%20AYF%20-%20Final.pdf).



13. *Takes note* of the estimated budgetary implications of the activities to be undertaken by the secretariat referred to in paragraph 12 above;
14. *Requests* that the actions of the secretariat called for in this decision be undertaken subject to the availability of financial resources.

*26<sup>th</sup> plenary meeting  
15 December 2018*

## Decision 18/CMA.1

### **Modalities, procedures and guidelines for the transparency framework for action and support referred to in Article 13 of the Paris Agreement**

*The Conference of the Parties serving as the meeting of the Parties to the Paris Agreement,*

*Recalling* the Paris Agreement, adopted under the Convention, in particular Article 2, paragraph 2, and Article 13, including paragraphs 1, 14 and 15,

*Also recalling* decision 1/CP.21,

*Recognizing* that the Capacity-building Initiative for Transparency, established pursuant to decision 1/CP.21, paragraph 84, will continue to support developing country Parties, upon request, to build their institutional and technical capacity, both pre- and post-2020,

*Also recognizing* that flexibility for those developing country Parties that need it in the light of their capacities is reflected in the modalities, procedures and guidelines for the transparency of action and support,

1. *Adopts*, pursuant to Article 13, paragraph 13, of the Paris Agreement, the modalities, procedures and guidelines for the transparency framework for action and support (hereinafter referred to as the modalities, procedures and guidelines) contained in the annex;
2. *Requests* the Subsidiary Body for Scientific and Technological Advice to undertake the first review and update, as appropriate, of the modalities, procedures and guidelines no later than 2028 on the basis of experience in reporting, technical expert review and facilitative, multilateral consideration of progress, and *decides* that subsequent reviews and updates will be undertaken as and when the Conference of the Parties serving as the meeting of the Parties to the Paris Agreement determines them to be appropriate;
3. *Decides* that Parties shall submit their first biennial transparency report and national inventory report, if submitted as a stand-alone report, in accordance with the modalities, procedures and guidelines, at the latest by 31 December 2024;
4. *Also decides* that the least developed country Parties and small island developing States may submit the information referred to in Article 13, paragraphs 7, 8, 9 and 10, of the Paris Agreement at their discretion;
5. *Invites* Parties and, as appropriate, intergovernmental organizations to nominate technical experts with the relevant qualifications to the UNFCCC roster of experts as referred to in chapter VII.I of the annex;
6. *Requests* the secretariat, in addition to the actions specified in the modalities, procedures and guidelines, to:
  - (a) Produce synthesis reports on Parties' biennial transparency reports and national inventory reports;
  - (b) Produce an annual report on the technical expert review;
  - (c) Publish Parties' biennial transparency reports and national inventory reports, if submitted as a stand-alone report, the technical expert review reports, and the records of Parties' facilitative, multilateral consideration of progress on the UNFCCC website;
7. *Recalls* that, in accordance with Article 13, paragraphs 14 and 15, of the Paris Agreement, support shall be provided to developing country Parties for the implementation of Article 13 and for the building of transparency-related capacity of developing country Parties on a continuous basis;

8. *Urges and requests* the Global Environment Facility, as an operating entity of the Financial Mechanism, throughout its replenishment cycles, to support developing country Parties in preparing their first and subsequent biennial transparency reports;
9. *Encourages* the Global Environment Facility to consider options for improving the efficiency of the process for providing support for reporting under Article 13 of the Paris Agreement, in particular for addressing the challenges in the application process, including by potentially providing an avenue for Parties to apply for funding for more than one report through the same application in each replenishment period;
10. *Urges* the Global Environment Facility and its implementing and executing agencies and *encourages* the Global Environment Facility Council to consider options for improving the efficiency of the process for providing support for reporting under Article 13 of the Paris Agreement, including through better streamlining of the processes related to applications, implementation plans and signing of grant agreements;
11. *Requests* the Global Environment Facility to continue to support the operation of the Capacity-building Initiative for Transparency as a priority reporting-related need;
12. *Also requests* the Subsidiary Body for Scientific and Technological Advice to develop, pursuant to the modalities, procedures and guidelines, for consideration and adoption by the Conference of the Parties serving as the meeting of the Parties to the Paris Agreement at its third session (November 2020):
  - (a) Common reporting tables for the electronic reporting of the information referred to in chapter II, and common tabular formats for the electronic reporting of the information referred to in chapters III, V and VI, of the annex, taking into account the existing common tabular formats and common reporting formats;
  - (b) Outlines of the biennial transparency report, national inventory document and technical expert review report, pursuant to the modalities, procedures and guidelines contained in the annex;
  - (c) A training programme for technical experts participating in the technical expert review;
13. *Invites* Parties to submit their views on the work referred to in paragraph 12 above via the submission portal<sup>1</sup> by 31 March 2019;
14. *Notes* decision 1/CP.24, paragraphs 45 and 46, in which the Conference of the Parties decided that the technical annex referred to in decision 14/CP.19, paragraph 7, containing modalities for measuring, reporting and verifying the activities referred to in decision 1/CP.16, paragraph 70, shall be submitted as an annex to the biennial transparency report to be submitted by Parties under Article 13 of the Paris Agreement, and that the technical analysis referred to in decision 14/CP.19, paragraph 11, shall be carried out concurrently with the technical expert review under Article 13 of the Paris Agreement;
15. *Decides* that, subject to the extension of its term by the Conference of the Parties, as referred to in decision 11/CP.24, paragraph 1, the Consultative Group of Experts referred to therein shall also serve the Paris Agreement, starting from 1 January 2019, to support the implementation of the enhanced transparency framework under Article 13 of the Paris Agreement by, inter alia:
  - (a) Facilitating the provision of technical advice and support to developing country Parties, as applicable, including for the preparation and submission of their biennial transparency reports and facilitating improved reporting over time;
  - (b) Providing technical advice to the secretariat on the implementation of the training of the technical expert review teams referred to in paragraph 12(c) above;
16. *Requests* that the actions of the secretariat called for in this decision be undertaken subject to the availability of financial resources.

---

<sup>1</sup> [https://unfccc.int/submissions\\_and\\_statements](https://unfccc.int/submissions_and_statements).

## **Annex**

### **Modalities, procedures and guidelines for the transparency framework for action and support referred to in Article 13 of the Paris Agreement**

#### **I. Introduction**

##### **A. Purpose**

1. In accordance with Article 13, paragraph 5, of the Paris Agreement, the purpose of the framework for transparency of action is to provide a clear understanding of climate change action in the light of the objective of the Convention as set out in its Article 2, including clarity and tracking of progress towards achieving Parties' individual nationally determined contributions (NDCs) under Article 4, and Parties' adaptation actions under Article 7, including good practices, priorities, needs and gaps, to inform the global stocktake under Article 14.

2. In accordance with Article 13, paragraph 6, of the Paris Agreement, the purpose of the framework for transparency of support is to provide clarity on support provided and received by relevant individual Parties in the context of climate change actions under Articles 4, 7, 9, 10 and 11, and, to the extent possible, to provide a full overview of aggregate financial support provided, to inform the global stocktake under Article 14.

##### **B. Guiding principles**

3. The guiding principles of these modalities, procedures and guidelines (MPGs) are:

(a) Building on and enhancing the transparency arrangements under the Convention, recognizing the special circumstances of the least developed countries (LDCs) and small island developing States (SIDS), and implementing the transparency framework in a facilitative, non-intrusive, non-punitive manner, respecting national sovereignty and avoiding placing undue burden on Parties;

(b) The importance of facilitating improved reporting and transparency over time;

(c) Providing flexibility to those developing country Parties that need it in the light of their capacities;

(d) Promoting transparency, accuracy, completeness, consistency and comparability;

(e) Avoiding duplication of work and undue burden on Parties and the secretariat;

(f) Ensuring that Parties maintain at least the frequency and quality of reporting in accordance with their respective obligations under the Convention;

(g) Ensuring that double counting is avoided;

(h) Ensuring environmental integrity.

##### **C. Flexibility to those developing country Parties that need it in the light of their capacities**

4. In accordance with Article 13, paragraph 2, of the Paris Agreement, the enhanced transparency framework shall provide flexibility in the implementation of the provisions of Article 13 to those developing country Parties that need it in the light of their capacities, and these MPGs shall reflect such flexibility.

5. These MPGs specify the flexibility that is available to those developing country Parties that need it in the light of their capacities pursuant to Article 13, paragraph 2, reflecting flexibility, including in the scope, frequency and level of detail of reporting, and in the scope of the review, as referred to decision 1/CP.21, paragraph 89.

6. The application of a flexibility provided for in the provisions of these MPGs for those developing country Parties that need it in the light of their capacities is to be self-determined. The developing country Party shall clearly indicate the provision to which flexibility is applied, concisely clarify capacity constraints, noting that some constraints may be relevant to several provisions, and provide self-determined estimated time frames for improvements in relation to those capacity constraints. When a developing country Party applies flexibility provided for in these MPGs, the technical expert review teams shall not review the Party's determination to apply such flexibility or whether the Party possesses the capacity to implement that specific provision without flexibility.

#### **D. Facilitating improved reporting and transparency over time**

7. To facilitate continuous improvement, each Party should, to the extent possible, identify, regularly update and include as part of its biennial transparency report information on areas of improvement in relation to its reporting pursuant to chapters II, III, IV, V and VI of these MPGs, including, as applicable:

(a) Areas of improvement identified by the Party and the technical expert review team in relation to the Party's implementation of Article 13 of the Paris Agreement;

(b) How the Party is addressing or intends to address areas of improvement as referred to in paragraph 7(a) above, as appropriate;

(c) Those developing country Parties that need flexibility in the light of their capacities are encouraged to highlight the areas of improvement that are related to the flexibility provisions used;

(d) Identification of reporting-related capacity-building support needs, including those referred to in paragraph 6 above, and any progress made, including those previously identified as part of the technical expert review referred to in chapter VII below.

8. Parties' domestic plans and priorities with regard to improved reporting reported pursuant to paragraph 7 above are not subject to technical expert review, but the information may inform discussions on areas of improvement and identification of capacity-building needs between the technical expert review team and the Party concerned.

9. In accordance with Article 13, paragraphs 14 and 15, of the Paris Agreement, support shall be provided to developing country Parties for the implementation of Article 13 of the Paris Agreement and for the building of transparency-related capacity of developing country Parties on a continuous basis.

#### **E. Reporting format**

10. In the biennial transparency report:

(a) Each Party shall provide a national inventory report of anthropogenic emissions by sources and removals by sinks of greenhouse gases (GHGs), in accordance with the MPGs contained in chapter II below;

(b) Each Party shall provide the information necessary to track progress in implementing and achieving its NDC under Article 4 of the Paris Agreement, in accordance with the MPGs contained in chapter III below;

(c) Each Party should provide information on climate change impacts and adaptation under Article 7 of the Paris Agreement, in accordance with the MPGs contained in chapter IV below;

(d) Developed country Parties shall provide information pursuant to Article 13, paragraph 9, in accordance with the MPGs contained in chapter V below. Other Parties that provide support should provide such information and, in doing so, are encouraged to use the MPGs contained in chapter V below;

(e) Developing country Parties should provide information on financial, technology transfer and capacity-building support needed and received under Articles 9, 10 and 11 of the Paris Agreement, in accordance with the MPGs contained in chapter VI below.

11. The LDCs and SIDS may submit the information referred to in paragraph 10 above at their discretion.

12. Notwithstanding paragraph 10 above, the national inventory report referred to in paragraph 10 above may be submitted as a stand-alone report or as a component of a biennial transparency report.

13. If a Party submits an adaptation communication as a component of or in conjunction with a biennial transparency report, it should clearly identify which part of the report is the adaptation communication.

14. When reporting information related to climate change impacts and adaptation under Article 7 of the Paris Agreement as referred to in paragraph 10(c) above, a Party may cross-reference previously reported information and focus its reporting on updates to previously reported information.

15. Each Party shall transmit its biennial transparency report, and national inventory report if submitted as a stand-alone report, via an online portal maintained by the secretariat. The secretariat shall post the reports on the UNFCCC website.

16. Each Party shall submit the reports referred to in paragraphs 10 and 12 above in one of the official languages of the United Nations.

## **II. National inventory report of anthropogenic emissions by sources and removals by sinks of greenhouse gases**

### **A. Definitions**

17. The definitions of the GHG inventory principles used shall be as provided in the Intergovernmental Panel on Climate Change (IPCC) *2006 IPCC Guidelines for National Greenhouse Gas Inventories* (hereinafter referred to as the 2006 IPCC Guidelines), volume 1, chapter 1, section 1.4.

### **B. National circumstances and institutional arrangements**

18. Each Party should implement and maintain national inventory arrangements, including institutional, legal and procedural arrangements for the continued estimation, compilation and timely reporting of national inventory reports in accordance with these MPGs. National inventory arrangements can vary by Party depending on their national circumstances and preferences, and change over time.

19. Each Party shall report on the following functions related to inventory planning, preparation and management:

(a) Its national entity or national focal point with overall responsibility for the national inventory;

(b) Its inventory preparation process, including division of specific responsibilities of institutions participating in the inventory preparation to ensure that sufficient activity data collection, choice and development of methods, emission factors and other parameters are in accordance with the IPCC guidelines referred to in paragraph 20 below and these MPGs;

(c) Its archiving of all information for the reported time series, including all disaggregated emission factors and activity data, all documentation about generating and aggregating data, including QA/QC, review results and planned inventory improvements;

(d) Its processes for the official consideration and approval of the inventory.

## **C. Methods**

### **1. Methodologies, parameters and data**

20. Each Party shall use the 2006 IPCC Guidelines, and shall use any subsequent version or refinement of the IPCC guidelines agreed upon by the Conference of the Parties serving as the meeting of the Parties to the Paris Agreement (CMA). Each Party is encouraged to use the *2013 Supplement to the 2006 IPCC Guidelines for National Greenhouse Gas Inventories: Wetlands*.

21. Each Party shall use methods from the IPCC guidelines referred to in paragraph 20 above. Each Party should make every effort to use a recommended method (tier level) for key categories in accordance with those IPCC guidelines.

22. Each Party may use nationally appropriate methodologies if they better reflect its national circumstances and are consistent with the IPCC guidelines referred to in paragraph 20 above. In these cases, each Party shall transparently explain national methods, data and/or parameters selected.

23. A Party may be unable to adopt a higher tier method for a particular key category owing to lack of resources. In such cases, the Party may use a tier 1 approach, and shall clearly document why the methodological choice was not in line with the corresponding decision tree of the IPCC guidelines referred to in paragraph 20 above. The Party should prioritize for future improvement any key categories for which the good practice method elaborated in the IPCC guidelines referred to in paragraph 20 above cannot be used.

24. Each Party is encouraged to use country-specific and regional emission factors and activity data, where available, or to propose plans to develop them, in accordance with the good practice elaborated in the IPCC guidelines referred to in paragraph 20 above.

### **2. Key category analysis**

25. Each Party shall identify key categories for the starting year and the latest reporting year referred to in chapter II.E.3 below, including and excluding land use, land-use change and forestry (LULUCF) categories, using approach 1, for both level and trend assessment, by implementing a key category analysis consistent with the IPCC guidelines referred to in paragraph 20 above; those developing country Parties that need flexibility in the light of their capacities with respect to this provision have the flexibility to instead identify key categories using a threshold no lower than 85 per cent in place of the 95 per cent threshold defined in the IPCC guidelines referred to in paragraph 20 above, allowing a focus on improving fewer categories and prioritizing resources.

### **3. Time-series consistency and recalculations**

26. To ensure time-series consistency, each Party should use the same methods and a consistent approach to underlying activity data and emission factors for each reported year.

27. Each Party should use surrogate data, extrapolation, interpolation and other methods consistent with splicing techniques contained in the IPCC guidelines referred to in paragraph 20 above to estimate missing emission values resulting from lack of activity data, emission factors or other parameters in order to ensure a consistent time series.

28. Each Party shall perform recalculations in accordance with the IPCC guidelines referred to in paragraph 20 above, ensuring that changes in emission trends are not introduced as a result of changes in methods or assumptions across the time series.

#### 4. Uncertainty assessment

29. Each Party shall quantitatively estimate and qualitatively discuss the uncertainty of the emission and removal estimates for all source and sink categories, including inventory totals, for at least the starting year and the latest reporting year of the inventory time series referred to in paragraphs 57 and 58 below. Each Party shall also estimate the trend uncertainty of emission and removal estimates for all source and sink categories, including totals, between the starting year and the latest reporting year of the inventory time series referred to in paragraphs 57 and 58 below, using at least approach 1, as provided in the IPCC guidelines referred to in paragraph 20 above; those developing country Parties that need flexibility in the light of their capacities with respect to this provision have the flexibility to instead provide, at a minimum, a qualitative discussion of uncertainty for key categories, using the IPCC guidelines referred to in paragraph 20 above, where quantitative input data are unavailable to quantitatively estimate uncertainties, and are encouraged to provide a quantitative estimate of uncertainty for all source and sink categories of the GHG inventory.

#### 5. Assessment of completeness

30. Each Party should indicate the sources and sinks (categories, pools and gases) that are not considered in the national inventory report but for which estimation methods are included in the IPCC guidelines referred to in paragraph 20 above and explain the reasons for such exclusion.

31. Each Party shall use notation keys where numerical data are not available when completing common reporting tables, indicating the reasons why emissions from sources and removals by sinks and associated data for specific sectors, categories and subcategories or gases are not reported. These notation keys include:

(a) “NO” (not occurring) for categories or processes, including recovery, under a particular source or sink category that do not occur within a Party;

(b) “NE” (not estimated) for activity data and/or emissions by sources and removals by sinks of GHGs that have not been estimated but for which a corresponding activity may occur within a Party;

(c) “NA” (not applicable) for activities under a given source/sink category that do occur within the Party but do not result in emissions or removals of a specific gas;

(d) “IE” (included elsewhere) for emissions by sources and removals by sinks of GHGs estimated but included elsewhere in the inventory instead of under the expected source/sink category;

(e) “C” (confidential) for emissions by sources and removals by sinks of GHGs where the reporting would involve the disclosure of confidential information.

32. Each Party may use the notation key “NE” (not estimated) when the estimates would be insignificant in terms of level according to the following considerations: emissions from a category should only be considered insignificant if the likely level of emissions is below 0.05 per cent of the national total GHG emissions, excluding LULUCF, or 500 kilotonnes of carbon dioxide equivalent (kt CO<sub>2</sub> eq), whichever is lower. The total national aggregate of estimated emissions for all gases from categories considered insignificant shall remain below 0.1 per cent of the national total GHG emissions, excluding LULUCF. Parties should use approximated activity data and default IPCC emission factors to derive a likely level of emissions for the respective category. Those developing country Parties that need flexibility in the light of their capacities with respect to this provision have the flexibility to instead consider emissions insignificant if the likely level of emissions is below 0.1 per cent of the national total GHG emissions, excluding LULUCF, or 1,000 kt CO<sub>2</sub> eq, whichever is lower. The total national aggregate of estimated emissions for all gases from categories considered insignificant, in this case, shall remain below 0.2 per cent of the national total GHG emissions, excluding LULUCF.

33. Once emissions or removals have been estimated for a category and if they continue to occur, each Party shall report them in subsequent submissions.



## **6. Quality assurance/quality control**

34. Each Party shall elaborate an inventory quality assurance/quality control (QA/QC) plan in accordance with the IPCC guidelines referred to in paragraph 20 above, including information on the inventory agency responsible for implementing QA/QC; those developing country Parties that need flexibility in the light of their capacities with respect to this provision are instead encouraged to elaborate an inventory QA/QC plan in accordance with the IPCC guidelines referred to in paragraph 20 above, including information on the inventory agency responsible for implementing QA/QC.

35. Each Party shall implement and provide information on general inventory QC procedures in accordance with its QA/QC plan and the IPCC guidelines referred to in paragraph 20 above; those developing country Parties that need flexibility in the light of their capacities with respect to this provision are instead encouraged to implement and provide information on general inventory QC procedures in accordance with its QA/QC plan and the IPCC guidelines referred to in paragraph 20 above. In addition, Parties should apply category-specific QC procedures in accordance with the IPCC guidelines referred to in paragraph 20 above for key categories and for those individual categories in which significant methodological changes and/or data revisions have occurred. In addition, Parties should implement QA procedures by conducting a basic expert peer review of their inventories in accordance with the IPCC guidelines referred to in paragraph 20 above.

36. Each Party should compare the national estimates of CO<sub>2</sub> emissions from fuel combustion with those obtained using the reference approach, as contained in the IPCC guidelines referred to in paragraph 20 above, and report the results of this comparison in its national inventory report.

## **D. Metrics**

37. Each Party shall use the 100-year time-horizon global warming potential (GWP) values from the IPCC Fifth Assessment Report, or 100-year time-horizon GWP values from a subsequent IPCC assessment report as agreed upon by the CMA, to report aggregate emissions and removals of GHGs, expressed in CO<sub>2</sub> eq. Each Party may in addition also use other metrics (e.g. global temperature potential) to report supplemental information on aggregate emissions and removals of GHGs, expressed in CO<sub>2</sub> eq. In such cases, the Party shall provide in the national inventory document information on the values of the metrics used and the IPCC assessment report they were sourced from.

## **E. Reporting guidance**

38. Pursuant to Article 13, paragraph 7(a), of the Paris Agreement, each Party shall provide a national inventory report of anthropogenic emissions by sources and removals by sinks of GHGs. The national inventory report consists of a national inventory document and the common reporting tables. Each Party shall report the information referred to in paragraphs 39–46 below, recognizing the associated flexibilities provided for those developing country Parties that need them in the light of their capacities.

### **1. Information on methods and cross-cutting elements**

39. Each Party shall report methods used, including the rationale for the choice of methods, in accordance with good practice elaborated in the IPCC guidelines referred to paragraph 20 above, and the descriptions, assumptions, references and sources of information used for the emission factors and activity data used to compile the GHG inventory.

40. Each Party shall provide information on the category and gas, and the methodologies, emission factors and activity data used at the most disaggregated level, to the extent possible, according to the IPCC guidelines referred to in paragraph 20 above, including related data references for reported emission and removal estimates for any country-specific category and gas that is not included in the IPCC guidelines referred to in paragraph 20 above.

41. Each Party shall describe the key categories, including information on the approach used for their identification, and information on the level of disaggregation used, in accordance with paragraph 25 above.
42. Each Party shall report the individual and cumulative percentage contributions from key categories, for both level and trend, consistent with the IPCC guidelines referred to in paragraph 20 above and the provisions referred to in paragraph 25 above.
43. Each Party shall report recalculations for the starting year referred to in paragraphs 57 and 58 below and all subsequent years of the inventory time series, together with explanatory information and justifications for recalculations with an indication of relevant changes and their impact on the emission trends, in accordance with paragraphs 26–28 above.
44. Each Party shall report the results of the uncertainty analysis as well as methods used, underlying assumptions, as applicable, and trends, at least for the starting year and the latest reporting year of the inventory time series referred to in paragraphs 57 and 58 below, in accordance with paragraph 29 above.
45. Each Party shall report information on the reasons for lack of completeness, including information on any methodological or data gaps, in accordance with paragraphs 30–33 above.
46. Each Party shall report the QA/QC plan and information on QA/QC procedures already implemented or to be implemented in the future, in accordance with paragraphs 34–36 above.

## **2. Sectors and gases**

47. Each Party shall report estimates of emissions and removals for all categories, gases and carbon pools considered in the GHG inventory throughout the reported period on a gas-by-gas basis in units of mass at the most disaggregated level, in accordance with the IPCC guidelines referred to in paragraph 20 above, using the common reporting tables, including a descriptive summary and figures underlying emission trends, with emissions by sources listed separately from removals by sinks, except in cases where it may be technically impossible to separate information on emissions and removals in the LULUCF sector, and noting that a minimum level of aggregation is needed to protect confidential business and military information.
48. Each Party shall report seven gases (CO<sub>2</sub>, methane (CH<sub>4</sub>), nitrous oxide (N<sub>2</sub>O), hydrofluorocarbons (HFCs), perfluorocarbons (PFCs), sulfur hexafluoride (SF<sub>6</sub>) and nitrogen trifluoride (NF<sub>3</sub>)); those developing country Parties that need flexibility in the light of their capacities with respect to this provision have the flexibility to instead report at least three gases (CO<sub>2</sub>, CH<sub>4</sub> and N<sub>2</sub>O) as well as any of the additional four gases (HFCs, PFCs, SF<sub>6</sub> and NF<sub>3</sub>) that are included in the Party's NDC under Article 4 of the Paris Agreement, are covered by an activity under Article 6 of the Paris Agreement, or have been previously reported.
49. Each Party reporting HFCs, PFCs, SF<sub>6</sub> and NF<sub>3</sub> shall report actual emissions of the gases, providing disaggregated data by chemical (e.g. HFC-134a) and category in units of mass and in CO<sub>2</sub> eq.
50. Each Party shall report the following sectors: energy, industrial processes and product use, agriculture, LULUCF and waste, according to the IPCC guidelines referred to in paragraph 20 above.
51. Each Party should provide information on the following precursor gases: carbon monoxide (CO), nitrogen oxides and non-methane volatile organic compounds (NMVOCs), as well as sulfur oxides.
52. Each Party may report indirect CO<sub>2</sub> from the atmospheric oxidation of CH<sub>4</sub>, CO and NMVOCs. For Parties that decide to report indirect CO<sub>2</sub>, the national totals shall be presented with and without indirect CO<sub>2</sub>. Each Party should report indirect N<sub>2</sub>O emissions from sources other than those in the agriculture and LULUCF sectors as a memo item. Those estimates of indirect N<sub>2</sub>O shall not be included in national totals. Parties may provide information on other substances that have an impact on climate.

53. Each Party should report international aviation and marine bunker fuel emissions as two separate entries and should not include such emissions in national totals but report them distinctly, if disaggregated data are available, making every effort to both apply and report according to the method contained in the IPCC guidelines referred to in paragraph 20 above for separating domestic and international emissions.

54. Each Party should clearly indicate how feedstocks and non-energy use of fuels have been accounted for in the inventory, under the energy or industrial processes sector, in accordance with the IPCC guidelines referred to in paragraph 20 above.

55. In the case of a Party addressing the emissions and subsequent removals from natural disturbances on managed lands in its national GHG inventory, that Party shall report information on the approach taken, and how it is consistent with IPCC guidance, as appropriate, and shall indicate if the estimates are indicated in national totals.

56. In the case of a Party using an approach to reporting emissions and removals from harvested wood products in accordance with IPCC guidance other than the production approach, that Party shall also provide supplementary information on emissions and removals from harvested wood products estimated using the production approach.

### **3. Time series**

57. Each Party shall report a consistent annual time series starting from 1990; those developing country Parties that need flexibility in the light of their capacities with respect to this provision have the flexibility to instead report data covering, at a minimum, the reference year/period for its NDC under Article 4 of the Paris Agreement and, in addition, a consistent annual time series from at least 2020 onwards.

58. For each Party, the latest reporting year shall be no more than two years prior to the submission of its national inventory report; those developing country Parties that need flexibility in the light of their capacities with respect to this provision have the flexibility to instead have their latest reporting year as three years prior to the submission of their national inventory report.

## **III. Information necessary to track progress made in implementing and achieving nationally determined contributions under Article 4 of the Paris Agreement**

### **A. National circumstances and institutional arrangements**

59. Each Party shall describe its national circumstances relevant to progress made in implementing and achieving its NDC under Article 4 of the Paris Agreement, including:

- (a) Government structure;
- (b) Population profile;
- (c) Geographical profile;
- (d) Economic profile;
- (e) Climate profile;
- (f) Sector details.

60. Each Party shall provide information on how its national circumstances affect GHG emissions and removals over time.

61. Each Party shall provide information on the institutional arrangements in place to track progress made in implementing and achieving its NDC under Article 4, including those used for tracking internationally transferred mitigation outcomes, if applicable, along with any changes in institutional arrangements since its most recent biennial transparency report.

62. Each Party shall provide information on legal, institutional, administrative and procedural arrangements for domestic implementation, monitoring, reporting, archiving of information and stakeholder engagement related to the implementation and achievement of its NDC under Article 4.

63. In reporting the information referred to in paragraphs 59–62 above, a Party may reference previously reported information.

## **B. Description of a Party's nationally determined contribution under Article 4 of the Paris Agreement, including updates**

64. Each Party shall provide a description of its NDC under Article 4, against which progress will be tracked. The information provided shall include the following, as applicable, including any updates to information previously provided:

(a) Target(s) and description, including target type(s) (e.g. economy-wide absolute emission reduction, emission intensity reduction, emission reduction below a projected baseline, mitigation co-benefits of adaptation actions or economic diversification plans, policies and measures, and other);

(b) Target year(s) or period(s), and whether they are single-year or multi-year target(s);

(c) Reference point(s), level(s), baseline(s), base year(s) or starting point(s), and their respective value(s);

(d) Time frame(s) and/or periods for implementation;

(e) Scope and coverage, including, as relevant, sectors, categories, activities, sources and sinks, pools and gases;

(f) Intention to use cooperative approaches that involve the use of internationally transferred mitigation outcomes under Article 6 towards NDCs under Article 4 of the Paris Agreement;

(g) Any updates or clarifications of previously reported information (e.g. recalculation of previously reported inventory data, or greater detail on methodologies or use of cooperative approaches).

## **C. Information necessary to track progress made in implementing and achieving its nationally determined contribution under Article 4 of the Paris Agreement**

65. Each Party shall identify the indicator(s) that it has selected to track progress towards the implementation and achievement of its NDC under Article 4. Indicators shall be relevant to a Party's NDC under Article 4, and may be either qualitative or quantitative.

66. These indicators could include, as appropriate, for example: net GHG emissions and removals, percentage reduction of GHG intensity, relevant qualitative indicators for a specific policy or measure, mitigation co-benefits of adaptation actions and/or economic diversification plans or other (e.g. hectares of reforestation, percentage of renewable energy use or production, carbon neutrality, share of non-fossil fuel in primary energy consumption and non-GHG related indicators).

67. Each Party shall provide the information for each selected indicator for the reference point(s), level(s), baseline(s), base year(s) or starting point(s), and shall update the information in accordance with any recalculation of the GHG inventory, as appropriate.

68. Each Party shall provide the most recent information for each selected indicator identified in paragraph 65 above for each reporting year during the implementation period of its NDC under Article 4.

69. Each Party shall compare the most recent information for each selected indicator with the information provided pursuant to paragraph 67 above to track progress made in implementing its NDC under Article 4.
70. For the first biennial transparency report that contains information on the end year or end of the period of its NDC under Article 4, each Party shall provide an assessment of whether it has achieved the target(s) for its NDC under Article 4 based on the relevant information described in paragraphs 59–69 above and paragraph 78 below, as applicable, and the most recent information for each selected indicator relevant to tracking progress towards the implementation and achievement of its NDC under Article 4.
71. For the first NDC under Article 4, each Party shall clearly indicate and report its accounting approach, including how it is consistent with Article 4, paragraphs 13 and 14, of the Paris Agreement. Each Party may choose to provide information on accounting of its first NDC consistent with decision 4/CMA.1.
72. For the second and subsequent NDC under Article 4, each Party shall provide information referred to in chapter III.B and C above consistent with decision 4/CMA.1. Each Party shall clearly indicate how its reporting is consistent with decision 4/CMA.1.
73. Each Party shall provide any definitions needed to understand its NDC under Article 4, including those related to each indicator identified in paragraph 65 above, those related to any sectors or categories defined differently than in the national inventory report, or the mitigation co-benefits of adaptation actions and/or economic diversification plans.
74. Each Party shall provide a description of each methodology and/or accounting approach used, as applicable for:
- (a) Target(s), as described in paragraph 64 above;
  - (b) The construction of baselines, as described in paragraph 64 above, to the extent possible;
  - (c) Each indicator identified in paragraph 65 above.
75. The information referred to in paragraph 74 above shall include, as available and applicable to the Party's NDC under Article 4:
- (a) Key parameters, assumptions, definitions, data sources and models used;
  - (b) IPCC guidelines used;
  - (c) Metrics used;
  - (d) Where applicable to its NDC, any sector-, category- or activity-specific assumptions, methodologies and approaches consistent with IPCC guidance, taking into account any relevant decision under the Convention, including as applicable:
    - (i) The approach used to address emissions and subsequent removals from natural disturbances on managed lands;
    - (ii) The approach used to account for emissions and removals from harvested wood products;
    - (iii) The approach used to address the effects of age-class structure in forests;
  - (e) Methodologies used to estimate mitigation co-benefits of adaptation actions and/or economic diversification plans;
  - (f) Methodologies associated with any cooperative approaches that involve the use of internationally transferred mitigation outcomes towards its NDC under Article 4, consistent with guidance developed related to Article 6;
  - (g) Methodologies used to track progress arising from the implementation of policies and measures;
  - (h) Any other methodologies related to its NDC under Article 4;
  - (i) Any conditions and assumptions relevant to the achievement of its NDC under Article 4.

76. Each Party shall also:

- (a) Describe, for each indicator identified in paragraph 65 above, how it is related to its NDC under Article 4;
- (b) Explain how the methodology in each reporting year is consistent with the methodology or methodologies used when communicating the NDC;
- (c) Explain methodological inconsistencies with its most recent national inventory report, if applicable;
- (d) Describe how double counting of net GHG emission reductions has been avoided, including in accordance with guidance developed in relation to Article 6, if relevant.

77. Each Party shall provide the information referred to in paragraphs 65–76 above in a structured summary to track progress made in implementing and achieving its NDC under Article 4, including:

- (a) For each selected indicator:
  - (i) Information for the reference point(s), level(s), baseline(s), base year(s), or starting point(s) referred to in paragraph 67 above;
  - (ii) Information for previous reporting years during the implementation period of its NDC under Article 4, identified in paragraph 68 above, as applicable;
  - (iii) The most recent information identified in paragraph 68 above;
- (b) Where applicable, information on GHG emissions and removals consistent with the coverage of its NDC under Article 4;
- (c) Contribution from the LULUCF sector for each year of the target period or target year, if not included in the inventory time series of total net GHG emissions and removals, as applicable;
- (d) Each Party that participates in cooperative approaches that involve the use of internationally transferred mitigation outcomes towards its NDC under Article 4, or authorizes the use of mitigation outcomes for international mitigation purposes other than achievement of its NDC, shall also provide the following information in the structured summary:
  - (i) The annual level of anthropogenic emissions by sources and removals by sinks covered by the NDC on an annual basis reported biennially;
  - (ii) An emissions balance reflecting the level of anthropogenic emissions by sources and removals by sinks covered by its NDC adjusted on the basis of corresponding adjustments undertaken by effecting an addition for internationally transferred mitigation outcomes first-transferred/transferred and a subtraction for internationally transferred mitigation outcomes used/acquired, consistent with guidance developed related to Article 6;
  - (iii) Any other information consistent with guidance developed related to Article 6, if relevant;
  - (iv) 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 guidance developed related to Article 6.

78. Each Party with an NDC under Article 4 that consists of adaptation actions and/or economic diversification plans resulting in mitigation co-benefits consistent with Article 4, paragraph 7, of the Paris Agreement shall provide the information necessary to track progress on the implementation and achievement of the domestic policies and measures implemented to address the social and economic consequences of response measures, including:

- (a) Sectors and activities associated with the response measures;
- (b) Social and economic consequences of the response measures;

- (c) Challenges in and barriers to addressing the consequences;
- (d) Actions to address the consequences.

79. Each Party shall report the information referred to in paragraphs 65–78 above in a narrative and common tabular format, as applicable. Such common tabular formats should accommodate all types of NDC under Article 4, as appropriate.

**D. Mitigation policies and measures, actions and plans, including those with mitigation co-benefits resulting from adaptation actions and economic diversification plans, related to implementing and achieving a nationally determined contribution under Article 4 of the Paris Agreement**

80. Each Party shall provide information on actions, policies and measures that support the implementation and achievement of its NDC under Article 4 of the Paris Agreement, focusing on those that have the most significant impact on GHG emissions or removals and those impacting key categories in the national GHG inventory. This information shall be presented in narrative and tabular format.

81. To the extent possible, Parties shall organize the reporting of actions by sector (energy, transport, industrial processes and product use, agriculture, LULUCF, waste management and other).

82. Each Party shall provide the following information on its actions, policies and measures, to the extent possible, in tabular format:

- (a) Name;
- (b) Description;
- (c) Objectives;
- (d) Type of instrument (regulatory, economic instrument or other);
- (e) Status (planned, adopted or implemented);
- (f) Sector(s) affected (energy, transport, industrial processes and product use, agriculture, LULUCF, waste management or other);
- (g) Gases affected;
- (h) Start year of implementation;
- (i) Implementing entity or entities.

83. Each Party may also provide the following information for each action, policy and measure reported:

- (a) Costs;
- (b) Non-GHG mitigation benefits;
- (c) How the mitigation actions as identified in paragraph 80 above interact with each other, as appropriate.

84. For each Party with an NDC under Article 4 of the Paris Agreement that consists of mitigation co-benefits resulting from Parties' adaptation actions and/or economic diversification plans consistent with Article 4, paragraph 7, information to be reported under paragraphs 80, 82 and 83 above includes relevant information on policies and measures contributing to mitigation co-benefits resulting from adaptation actions or economic diversification plans.

85. Each Party shall provide, to the extent possible, estimates of expected and achieved GHG emission reductions for its actions, policies and measures in the tabular format referred to in paragraph 82 above; those developing country Parties that need flexibility in the light

of their capacities with respect to this provision are instead encouraged to report such information.

86. Each Party shall describe the methodologies and assumptions used to estimate the GHG emission reductions or removals due to each action, policy and measure, to the extent available. This information may be presented in an annex to its biennial transparency report.

87. Each Party should identify those actions, policies and measures that are no longer in place compared with the most recent biennial transparency report, and explain why they are no longer in place.

88. Each Party should identify its actions, policies and measures that influence GHG emissions from international transport.

89. Each Party should, to the extent possible, provide information about how its actions, policies and measures are modifying longer-term trends in GHG emissions and removals.

90. Each Party is encouraged to provide detailed information, to the extent possible, on the assessment of economic and social impacts of response measures.

## **E. Summary of greenhouse gas emissions and removals**

91. Each Party that submits a stand-alone national inventory report shall provide a summary of its GHG emissions and removals. This information shall be provided for the reporting years corresponding to the Party's most recent national inventory report, in tabular format.

## **F. Projections of greenhouse gas emissions and removals, as applicable**

92. Each Party shall report projections pursuant to paragraphs 93–101 below; those developing country Parties that need flexibility in the light of their capacities are instead encouraged to report such projections.

93. Projections are indicative of the impact of mitigation policies and measures on future trends in GHG emissions and removals, and shall not be used to assess progress towards the implementation and achievement of a Party's NDC under Article 4 of the Paris Agreement unless the Party has identified a reported projection as its baseline as identified in chapter III.B above.

94. Each Party that reports pursuant to paragraph 92 above shall report 'with measures' projections of all GHG emissions and removals and may report 'with additional measures' projections and 'without measures' projections.<sup>1</sup>

95. Projections shall begin from the most recent year in the Party's national inventory report and extend at least 15 years beyond the next year ending in zero or five; those developing country Parties that need flexibility in the light of their capacities with respect to this provision have the flexibility to instead extend their projections at least to the end point of their NDC under Article 4 of the Paris Agreement.

96. Information provided by each Party in describing the methodology used to develop the projections should include the following:

(a) Models and/or approaches used and key underlying assumptions and parameters used for projections (e.g. gross domestic product growth rate/level, population growth rate/level);

(b) Changes in the methodology since the Party's most recent biennial transparency report;

---

<sup>1</sup> A 'with measures' scenario encompasses currently implemented and adopted policies and measures. If provided, a 'with additional measures' scenario encompasses implemented, adopted and planned policies and measures. If provided, 'without measures' projections exclude all policies and measures implemented, adopted and planned after the year chosen as the starting point for the projections.



(c) Assumptions on policies and measures included in the ‘with measures’ projections and ‘with additional measures’ projections, if included;

(d) Sensitivity analysis for any of the projections, together with a brief explanation of the methodologies and parameters used.

97. Each Party shall also provide projections of key indicators to determine progress towards its NDC under Article 4 of the Paris Agreement.

98. Each Party shall include projections on a sectoral basis and by gas, as well as for the national total, using a common metric consistent with that in its national inventory report.

99. Projections shall be presented relative to actual inventory data for the preceding years.

100. Emission projections shall be provided with and without LULUCF.

101. Projections shall be presented in graphical and tabular formats.

102. Those developing country Parties that need flexibility in the light of their capacities with respect to paragraphs 93–101 above can instead report using a less detailed methodology or coverage.

### **G. Other information**

103. Each Party may provide any other information relevant to tracking progress made in implementing and achieving its NDC under Article 4 of the Paris Agreement.

## **IV. Information related to climate change impacts and adaptation under Article 7 of the Paris Agreement**

104. Each Party should provide information related to climate change impacts and adaptation under Article 7 of the Paris Agreement, as appropriate. Providing such information is not mandatory.

105. The information referred to below could facilitate, inter alia, recognition of the adaptation efforts of developing country Parties.

### **A. National circumstances, institutional arrangements and legal frameworks**

106. Each Party should provide the following information, as appropriate:

(a) National circumstances relevant to its adaptation actions, including biogeophysical characteristics, demographics, economy, infrastructure and information on adaptive capacity;

(b) Institutional arrangements and governance, including for assessing impacts, addressing climate change at the sectoral level, decision-making, planning, coordination, addressing cross-cutting issues, adjusting priorities and activities, consultation, participation, implementation, data governance, monitoring and evaluation, and reporting;

(c) Legal and policy frameworks and regulations.

### **B. Impacts, risks and vulnerabilities**

107. Each Party should provide the following information, as appropriate:

(a) Current and projected climate trends and hazards;

(b) Observed and potential impacts of climate change, including sectoral, economic, social and/or environmental vulnerabilities;

(c) Approaches, methodologies and tools, and associated uncertainties and challenges, in relation to paragraph 107(a) and (b) above.

### **C. Adaptation priorities and barriers**

108. Each Party should provide the following information, as appropriate:

- (a) Domestic priorities and progress towards those priorities;
- (b) Adaptation challenges and gaps, and barriers to adaptation.

### **D. Adaptation strategies, policies, plans, goals and actions to integrate adaptation into national policies and strategies**

109. Each Party should provide the following information, as appropriate:

- (a) Implementation of adaptation actions in accordance with the global goal on adaptation as set out in Article 7, paragraph 1, of the Paris Agreement;
- (b) Adaptation goals, actions, objectives, undertakings, efforts, plans (e.g. national adaptation plans and subnational plans), strategies, policies, priorities (e.g. priority sectors, priority regions or integrated plans for coastal management, water and agriculture), programmes and efforts to build resilience;
- (c) How best available science, gender perspectives and indigenous, traditional and local knowledge are integrated into adaptation;
- (d) Development priorities related to climate change adaptation and impacts;
- (e) Any adaptation actions and/or economic diversification plans leading to mitigation co-benefits;
- (f) Efforts to integrate climate change into development efforts, plans, policies and programming, including related capacity-building activities;
- (g) Nature-based solutions to climate change adaptation;
- (h) Stakeholder involvement, including subnational, community-level and private sector plans, priorities, actions and programmes.

### **E. Progress on implementation of adaptation**

110. Each Party should provide the following information, as appropriate, on progress on:

- (a) Implementation of the actions identified in chapter IV.D above;
- (b) Steps taken to formulate, implement, publish and update national and regional programmes, strategies and measures, policy frameworks (e.g. national adaptation plans) and other relevant information;
- (c) Implementation of adaptation actions identified in current and past adaptation communications, including efforts towards meeting adaptation needs, as appropriate;
- (d) Implementation of adaptation actions identified in the adaptation component of NDCs, as applicable;
- (e) Coordination activities and changes in regulations, policies and planning.

111. Developing country Parties may also include information on, as appropriate, implementation of supported adaptation actions, and the effectiveness of already implemented adaptation measures.

## **F. Monitoring and evaluation of adaptation actions and processes**

112. In order to enhance their adaptation actions and to facilitate reporting, as appropriate, each Party should report on the establishment or use of domestic systems to monitor and evaluate the implementation of adaptation actions. Parties should report on approaches and systems for monitoring and evaluation, including those in place or under development.

113. Each Party should provide the following information, as appropriate, related to monitoring and evaluation:

- (a) Achievements, impacts, resilience, review, effectiveness and results;
- (b) Approaches and systems used, and their outputs;
- (c) Assessment of and indicators for:
  - (i) How adaptation increased resilience and reduced impacts;
  - (ii) When adaptation is not sufficient to avert impacts;
  - (iii) How effective implemented adaptation measures are;
- (d) Implementation, in particular on:
  - (i) Transparency of planning and implementation;
  - (ii) How support programmes meet specific vulnerability and adaptation needs;
  - (iii) How adaptation actions influence other development goals;
  - (iv) Good practices, experience and lessons learned from policy and regulatory changes, actions and coordination mechanisms.

114. Each Party should provide information related to the effectiveness and sustainability of adaptation actions, as appropriate, including on:

- (a) Ownership, stakeholder engagement, alignment of adaptation actions with national and subnational policies, and replicability;
- (b) The results of adaptation actions and the sustainability of those results.

## **G. Information related to averting, minimizing and addressing loss and damage associated with climate change impacts**

115. Each interested Party may provide, as appropriate, information related to enhancing understanding, action and support, on a cooperative and facilitative basis, to avert, minimize and address loss and damage associated with climate change impacts, taking into account projected changes in climate-related risks, vulnerabilities, adaptive capacities and exposure, including, as appropriate, on:

- (a) Observed and potential climate change impacts, including those related to extreme weather events and slow onset events, drawing on the best available science;
- (b) Activities related to averting, minimizing and addressing loss and damage associated with the adverse effects of climate change;
- (c) Institutional arrangements to facilitate the implementation of the activities referred to in paragraph 115(b) above.

## **H. Cooperation, good practices, experience and lessons learned**

116. Each Party should provide the following information, as appropriate, related to cooperation, good practices, experience and lessons learned:

- (a) Efforts to share information, good practices, experience and lessons learned, including as they relate to:
  - (i) Science, planning and policies relevant to adaptation;

- (ii) Policy innovation and pilot and demonstration projects;
- (iii) Integration of adaptation actions into planning at different levels;
- (iv) Cooperation to share information and to strengthen science, institutions and adaptation;
- (v) Area, scale and types of cooperation and good practices;
- (vi) Improving durability and effectiveness of adaptation actions;
- (vii) Helping developing countries to identify effective adaptation practices, needs, priorities, and challenges and gaps in a way that is consistent with encouraging good practices;
- (b) Strengthening scientific research and knowledge related to:
  - (i) Climate, including research and systematic observation and early warning systems, to inform climate services and decision-making;
  - (ii) Vulnerability and adaptation;
  - (iii) Monitoring and evaluation.

**I. Any other information related to climate change impacts and adaptation under Article 7 of the Paris Agreement**

117. Each Party may provide, as appropriate, any other information related to climate change impacts and adaptation under Article 7.

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

118. Developed country Parties shall provide information pursuant to Article 13, paragraph 9, of the Paris Agreement in accordance with the MPGs contained in this chapter. Other Parties that provide support should provide such information and, in doing so, are encouraged to use the MPGs contained in this chapter.

**A. National circumstances and institutional arrangements**

119. Information on national circumstances and institutional arrangements relevant to reporting on the provision and mobilization of support, including:

- (a) Description of the systems and processes used to identify, track and report on support provided and mobilized through public interventions;
- (b) Description of challenges and limitations;
- (c) Information on experience and good practices in relation to public policy and regulatory frameworks to incentivize further private climate financing and investment;
- (d) Efforts taken to enhance comparability and accuracy of information reported on financial support provided and mobilized through public interventions, such as through use of international standards or harmonization with other countries, institutions and international systems.

120. Information, if available, on national circumstances and institutional arrangements for the provision of technology development and transfer and capacity-building support.

## B. Underlying assumptions, definitions and methodologies

121. In order to enhance the transparency of reporting, a description of the underlying assumptions, methodologies and definitions, as applicable, used to identify and/or report, including:

- (a) The chosen reporting year (calendar year, fiscal year);
- (b) The conversion between domestic currency and United States dollars;
- (c) The status (committed, disbursed);
- (d) The channel (bilateral, regional, multi-bilateral, multilateral);
- (e) The funding source (official development assistance (ODA), other official flows (OOF), other);
- (f) The financial instrument (e.g. grant, concessional loan, non-concessional loan, equity, guarantee, insurance, other (specify));
- (g) Information on instruments and funding sources reported, including how a Party has determined finance to be concessional and/or ODA, including by using information such as grant equivalency, institution and/or instrument-based approaches;
- (h) The type of support (e.g. adaptation, mitigation, cross-cutting);
- (i) The sector;
- (j) The subsector;
- (k) Whether it supported capacity-building and/or technology development and transfer objectives;
- (l) The support as being climate-specific;
- (m) Information on the efforts taken to avoid double counting, including on:
  - (i) How double counting among multiple Parties involved in the provision of support was avoided;
  - (ii) How double counting among multiple Parties involved in the mobilization of private finance through public interventions was avoided, including the methodologies and assumptions used to attribute the mobilized resources through public interventions reported to the Party that reports them, if possible relative to the type of instrument used for the mobilization;
  - (iii) How double counting was avoided between the resources reported as provided or mobilized, and the resources used under Article 6 of the Paris Agreement by the acquiring Party for use towards the achievement of its NDC;
  - (iv) How support is attributed between multiple recipient countries, in cases where a project involves multiple recipient countries and where this information is reported on a country-by-country basis;
- (n) The definition of public and private finance, in particular where entities or funds are mixed;
- (o) How private finance was assessed as mobilized through public interventions, including by:
  - (i) Identifying a clear causal link between a public intervention and mobilized private finance, where the activity would not have moved forward, or moved forward at scale, in the absence of the Party's intervention;
  - (ii) Providing information on the point of measurement (e.g. point of commitment, point of disbursement) of the private finance mobilized as a result of the public intervention, to the extent possible in relation to the type of instrument or mechanism used for the mobilization;

- (iii) Providing information on the boundaries used to identify finance mobilized through public intervention;
- (p) How it seeks to ensure that support provided and mobilized through public interventions effectively addresses the needs and priorities of developing country Parties for the implementation of the Paris Agreement, as identified in country-driven strategies and instruments, such as biennial transparency reports, NDCs and national adaptation plans;
- (q) How it seeks to ensure that support provided and mobilized through public interventions is in line with the long-term goals of the Paris Agreement;
- (r) An indication of what new and additional financial resources have been provided, and how it has been determined that such resources are new and additional;
- (s) How the information provided reflects a progression from previous levels in the provision and mobilization of finance under the Paris Agreement;
- (t) Information on reporting on multilateral finance, including:
  - (i) Whether the multilateral finance reported is based on the Party's inflow contribution to a multilateral institution and/or on the Party's share in the outflow of the multilateral institution;
  - (ii) Whether and how multilateral finance has been reported as climate-specific and how the climate-specific share was calculated, including by, for example, using existing international standards;
  - (iii) Whether multilateral finance has been reported as core/general, with the understanding that the actual climate finance amount it would transfer into depends on the programming choices of the multilateral institutions;
  - (iv) Whether and how multilateral finance has been attributed to the reporting Party.

122. A description of the underlying assumptions, definitions and methodologies used to provide information on technology development and transfer and capacity-building support.

## **C. Information on financial support provided and mobilized under Article 9 of the Paris Agreement**

### **1. Bilateral, regional and other channels**

123. Relevant information, in a tabular format, for the previous two reporting years without overlapping with the previous reporting periods, on bilateral and regional financial support provided, specifying:

- (a) Year (calendar year, fiscal year);
- (b) Amount (in United States dollars and domestic currency) (the face value and, on a voluntary basis, the grant-equivalent value);
- (c) Recipient, including, to the extent possible, information on the recipient region or country and the title of the project, programme, activity or other (specify);
- (d) Status (disbursed, committed);
- (e) Channel (bilateral, regional, multi-bilateral, other (specify));
- (f) Funding source (ODA, OOF, other (specify));
- (g) Financial instrument (e.g. grant, concessional loan, non-concessional loan, equity, guarantee, insurance, other (specify));
- (h) The type of support (e.g. adaptation, mitigation or cross-cutting);
- (i) Sector (e.g. energy, transport, industry, agriculture, forestry, water and sanitation, cross-cutting, other (specify));
- (j) Subsector, as available;

(k) Additional information, as available (such as project/programme details, implementing agency and, to the extent possible, link to relevant project/programme documentation);

(l) Whether it contributes to capacity-building and/or technology development and transfer objectives, as available.

## 2. Multilateral channels

124. Relevant information, in a tabular format, for the previous two reporting years without overlapping with the previous reporting periods, on financial support provided through multilateral channels, specifying:

(a) Year (calendar year, fiscal year);

(b) Institution (e.g. multilateral fund, the operating entities of the Financial Mechanism, entities of the Technology Mechanism, multilateral financial institution, international organization, other (specify));

(c) Amount (in United States dollars and domestic currency) (the face value and, on a voluntary basis, the grant-equivalent value);

(d) Core-general or climate-specific, as applicable;

(e) Inflows and/or outflows, as applicable;

(f) Recipient (e.g. country, region, global, project, programme, activity, other (specify)), as applicable, as available;

(g) Status (disbursed, committed);

(h) Channel (multilateral, multi-bilateral);

(i) Funding source (ODA, OOF, other (specify));

(j) Financial instrument (e.g. grant, concessional loan, non-concessional loan, equity, guarantee, insurance, other (specify));

(k) The type of support (e.g. adaptation, mitigation or cross-cutting), as available;

(l) Sector (e.g. energy, transport, industry, agriculture, forestry, water and sanitation, cross-cutting, other (specify)), as available;

(m) Subsector, as available;

(n) Whether it contributes to capacity-building and/or technology development and transfer objectives, as applicable, as available.

## 3. Information on finance mobilized through public interventions

125. Relevant information, in textual and/or tabular format, for the previous two reporting years without overlapping with the previous reporting periods, on financial support mobilized through public interventions through bilateral, regional and multilateral channels, including the operating entities of the Financial Mechanism and entities of the Technology Mechanism, as applicable and to the extent possible:

(a) Year (calendar year, fiscal year);

(b) Amount (in United States dollars and domestic currency) (the face value and, on a voluntary basis, the grant-equivalent value, if applicable);

(c) Amount of resources used to mobilize the support (in United States dollars and domestic currency);

(d) Type of public intervention used (e.g. grant, concessional loan, non-concessional loan, equity, guarantee, insurance, policy intervention, capacity-building, technology development and transfer, technical assistance);

(e) Recipient (country, region, global, project, programme, activity, other (specify));

- (f) Channel (bilateral, regional, multilateral);
- (g) The type of support (e.g. adaptation, mitigation or cross-cutting);
- (h) Sector (e.g. energy, transport, industry, agriculture, forestry, water and sanitation, cross-cutting, other (specify));
- (i) Subsector;
- (j) Additional information.

#### **D. Information on support for technology development and transfer provided under Article 10 of the Paris Agreement**

126. Information, in textual format, on support for technology development and transfer provided under Article 10 of the Paris Agreement, including, to the extent possible, qualitative and/or quantitative information on:

- (a) Strategies employed to support technology development and transfer, including case studies;
- (b) Support provided at different stages of the technology cycle;
- (c) Support for the development and enhancement of endogenous capacities and technologies of developing country Parties;
- (d) Efforts to encourage private sector activities related to technology development and transfer and how such efforts support developing country Parties;
- (e) Efforts to accelerate, encourage and enable innovation, including research, development and deployment efforts, and collaborative approaches to research and development;
- (f) Knowledge generated.

127. Quantitative and/or qualitative information in a common tabular format on measures or activities related to support for technology development and transfer implemented or planned since their previous report, including, to the extent possible and as relevant:

- (a) Title;
- (b) Recipient entity;
- (c) Description and objectives;
- (d) Type of support (mitigation, adaptation or cross-cutting);
- (e) Sector;
- (f) Type of technology;
- (g) Status of measure or activity;
- (h) Whether the activity was undertaken by the public and/or private sector.

#### **E. Information on capacity-building support provided under Article 11 of the Paris Agreement**

128. Information, in textual format, on capacity-building support provided under Article 11 of the Paris Agreement, including, to the extent possible, qualitative and/or quantitative information on:

- (a) Strategies employed to provide capacity-building support, including case studies;
- (b) How capacity-building support that was provided responds to the existing and emerging capacity-building needs, priorities and gaps identified by developing country Parties in the areas of mitigation, adaptation, and technology development and transfer;



- (c) Policies that promote capacity-building support;
- (d) Involvement of stakeholders;
- (e) How support for capacity-building actions in developing country Parties that was provided promotes the sharing of lessons learned and best practices.

129. Quantitative and/or qualitative information in a common tabular format on measures or activities related to capacity-building support implemented or planned since their previous report, including, to the extent possible and as relevant:

- (a) Title;
- (b) Recipient entity;
- (c) Description and objectives;
- (d) Type of support (mitigation, adaptation or cross-cutting);
- (e) Status of measure or activity.

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

### **A. National circumstances, institutional arrangements and country-driven strategies**

130. Developing country Parties should provide information on national circumstances and institutional arrangements relevant to reporting on support needed and received, including:

- (a) A description of the systems and processes used to identify, track and report support needed and received, including a description of the challenges and limitations;
- (b) Information on country priorities and strategies and on any aspects of the Party's NDC under Article 4 of the Paris Agreement that need support.

### **B. Underlying assumptions, definitions and methodologies**

131. In reporting information on support needed and received, developing country Parties should describe the underlying assumptions, definitions and methodologies used to provide information on support needed and received, including, as applicable, those used to:

- (a) Convert domestic currency into United States dollars;
- (b) Estimate the amount of support needed;
- (c) Determine the reporting year or time frame;
- (d) Identify support as coming from specific sources;
- (e) Determine support as committed, received or needed;
- (f) Identify and report the status of the supported activity (planned, ongoing or completed);
- (g) Identify and report the channel (bilateral, regional or multilateral);
- (h) Identify and report the type of support (mitigation, adaptation or cross-cutting);
- (i) Identify and report the financial instrument (grant, concessional loan, non-concessional loan, equity, guarantee or other);
- (j) Identify and report sectors and subsectors;
- (k) Report on the use, impact and estimated results of the support needed and received;

(l) Identify and report support as contributing to technology development and transfer and capacity-building;

(m) Avoid double counting in reporting information on support needed and received for the implementation of Article 13 of the Paris Agreement and transparency-related activities, including for transparency-related capacity-building, when reporting such information separately from other information on support needed and received.

### **C. Information on financial support needed by developing country Parties under Article 9 of the Paris Agreement**

132. Developing country Parties should provide information on financial support needed under Article 9 of the Paris Agreement in textual format, including, to the extent possible and as available and as applicable:

(a) Sectors for which the Party wishes to attract international finance, including existing barriers to attracting international finance;

(b) Description of how the support will contribute to its NDC and to the long-term goals of the Paris Agreement.

133. Developing country Parties should provide, in a common tabular format, information on financial support needed, including the following, to the extent possible, and as available and as applicable:

(a) Title (of activity, programme or project);

(b) Programme/project description;

(c) Estimated amount (in domestic currency and in United States dollars);

(d) Expected time frame;

(e) Expected financial instrument (grant, concessional loan, non-concessional loan, equity, guarantee or other);

(f) Type of support (mitigation, adaptation or cross-cutting);

(g) Sector and subsector;

(h) Whether the activity will contribute to technology development and transfer and/or capacity-building, if relevant;

(i) Whether the activity is anchored in a national strategy and/or an NDC;

(j) Expected use, impact and estimated results.

### **D. Information on financial support received by developing country Parties under Article 9 of the Paris Agreement**

134. Developing country Parties should provide, in a common tabular format, information on financial support received, including, to the extent possible, and as available and as applicable:

(a) Title (of activity, programme or project);

(b) Programme/project description;

(c) Channel;

(d) Recipient entity;

(e) Implementing entity;

(f) Amount received (in domestic currency and in United States dollars);

(g) Time frame;

- (h) Financial instrument (grant, concessional loan, non-concessional loan, equity, guarantee or other);
- (i) Status (committed or received);
- (j) Sector and subsector;
- (k) Type of support (mitigation, adaptation or cross-cutting);
- (l) Whether the activity has contributed to technology development and transfer and/or capacity-building;
- (m) Status of activity (planned, ongoing or completed);
- (n) Use, impact and estimated results.

#### **E. Information on technology development and transfer support needed by developing country Parties under Article 10 of the Paris Agreement**

135. Developing country Parties should provide, in textual format, information on technology development and transfer support needed under Article 10 of the Paris Agreement, including on, to the extent possible, and as available and as applicable:

- (a) Plans, needs and priorities related to technology development and transfer, including those identified in technology needs assessments, where applicable;
- (b) Technology development and transfer related needs for the enhancement of endogenous capacities and technologies.

136. Developing country Parties should provide, in a common tabular format, information on technology development and transfer support needed, including, to the extent possible and as available and as applicable:

- (a) Title (of activity, programme or project);
- (b) Programme/project description;
- (c) Type of support (mitigation, adaptation or cross-cutting);
- (d) Type of technology;
- (e) Expected time frame;
- (f) Sector;
- (g) Expected use, impact and estimated results.

#### **F. Information on technology development and transfer support received by developing country Parties under Article 10 of the Paris Agreement**

137. Developing country Parties should provide, in textual format, information on technology development and transfer support received under Article 10 of the Paris Agreement, including on, to the extent possible, and as available and as applicable:

- (a) Case studies, including key success and failure stories;
- (b) How the support contributes to technology development and transfer, endogenous capacities and know-how;
- (c) The stage of the technology cycle supported, including research and development, demonstration, deployment, diffusion and transfer of technology.

138. Developing country Parties should provide, in a common tabular format, information on technology development and transfer support received, including on, to the extent possible, and as available and as applicable:

- (a) Title (of activity, programme or project);
- (b) Programme/project description;

- (c) Type of technology;
- (d) Time frame;
- (e) Recipient entity;
- (f) Implementing entity;
- (g) Type of support (mitigation, adaptation or cross-cutting);
- (h) Sector;
- (i) Status of activity (planned, ongoing or completed);
- (j) Use, impact and estimated results.

### **G. Information on capacity-building support needed by developing country Parties under Article 11 of the Paris Agreement**

139. Developing country Parties should provide, in textual format, information on capacity-building support needed under Article 11 of the Paris Agreement, including on, to the extent possible and as available and as applicable:

- (a) The approach a Party seeks to take to enhance capacity-building support;
- (b) Country-specific capacity-building needs, constraints and gaps in communicating those needs, and an explanation of how the capacity-building support needed would improve the provision of such information;
- (c) Processes for enhancing public awareness, public participation and access to information in relation to capacity-building.

140. Developing country Parties should provide, in a common tabular format, information on capacity-building support needed, including the following, to the extent possible, and as available and as applicable:

- (a) Title (of activity, programme or project);
- (b) Programme/project description;
- (c) Expected time frame;
- (d) Type of support (mitigation, adaptation or cross-cutting);
- (e) Expected use, impact and estimated results.

### **H. Information on capacity-building support received by developing country Parties under Article 11 of the Paris Agreement**

141. Developing country Parties should provide, in textual format, information on capacity-building support received under Article 11 of the Paris Agreement, including on, to the extent possible, and as available and as applicable:

- (a) Case studies, including key success and failure stories;
- (b) How support received has enhanced a Party's capacity;
- (c) Capacity-building support received at the national and, where appropriate, subregional and regional level, including priorities, participation and the involvement of stakeholders.

142. Developing country Parties should provide, in a common tabular format, information on capacity-building support received, including the following, to the extent possible and as available and as applicable:

- (a) Title (of activity, programme or project);
- (b) Programme/project description;

- (c) Implementing entity;
- (d) Recipient entity;
- (e) Type of support (mitigation, adaptation or cross-cutting);
- (f) Time frame;
- (g) Status of activity (planned, ongoing or completed);
- (h) Use, impact and estimated results.

## **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**

143. Developing country Parties should provide information on support needed and received for implementing Article 13 of the Paris Agreement and transparency-related activities, including on, to the extent possible:

- (a) Support needed and received for preparing reports pursuant to Article 13;
- (b) Support needed and received for addressing the areas for improvement identified by the technical expert review teams.

144. Developing country Parties should provide, in a common tabular format, summary information on support needed and received for implementing Article 13 and transparency-related activities, including for transparency-related capacity-building, including, to the extent possible and as applicable:

- (a) Title (of activity, programme or project);
- (b) Objectives and description;
- (c) Recipient entity;
- (d) Channel;
- (e) Amount (in domestic currency and in United States dollars);
- (f) Time frame;
- (g) Status of activity (planned, ongoing or completed);
- (h) Use, impact and estimated results.

145. In reporting information on support needed and received for the implementation of Article 13 of the Paris Agreement and transparency-related activities, including for transparency-related capacity-building, developing country Parties should ensure the avoidance of double counting in reporting such information separately from other information on financial, technology development and capacity-building support needed or received.

## **VII. Technical expert review**

### **A. Scope**

146. A technical expert review consists of:

- (a) A review of the consistency of the information submitted by the Party under Article 13, paragraphs 7 and 9, of the Paris Agreement with these MPGs, taking into account the flexibility accorded to the Party under Article 13, paragraph 2, of the Paris Agreement;
- (b) Consideration of the Party's implementation and achievement of its NDC under Article 4 of the Paris Agreement;

- (c) Consideration of the Party's support provided, as relevant;
- (d) Identification of areas of improvement for the Party related to implementation of Article 13 of the Paris Agreement;
- (e) For those developing country Parties that need it in the light of their capacities, assistance in identifying capacity-building needs.

147. The technical expert review shall pay particular attention to the respective national capabilities and circumstances of developing country Parties.

148. In accordance with Article 13, paragraph 3, of the Paris Agreement, the technical expert review will be implemented in a facilitative, non-intrusive, non-punitive manner, respectful of national sovereignty, and will avoid placing undue burden on Parties.

149. Technical expert review teams shall not:

- (a) Make political judgments;
- (b) Review the adequacy or appropriateness of a Party's NDC under Article 4 of the Paris Agreement, of its associated description pursuant to chapter III.B above, or of the indicators identified in chapter III.C above;
- (c) Review the adequacy of a Party's domestic actions;
- (d) Review the adequacy of a Party's support provided;
- (e) For those developing country Parties that need flexibility in the light of their capacities, review the Party's determination to apply flexibility that has been provided for in these MPGs, including the self-determined estimated time frames referred to in paragraph 6 above, or whether a developing country Party possesses the capacity to implement that specific provision without flexibility.

## **B. Information to be reviewed**

150. Information submitted under Article 13, paragraphs 7 and 9, of the Paris Agreement shall undergo a technical expert review consistent with the MPGs contained in this chapter. This includes:

- (a) A national inventory report of anthropogenic emissions by sources and removals by sinks of GHGs, as referred to in paragraph 10(a) above, submitted by each Party;
- (b) Information necessary to track progress made in implementing and achieving its NDC under Article 4, as referred to in paragraph 10(b) above, submitted by each Party;
- (c) Information on financial, technology development and transfer and capacity-building support provided to developing country Parties under Articles 9, 10 and 11 of the Paris Agreement referred to in paragraph 10(d) above. Information submitted by other Parties that provide support, as referred to in Article 9, paragraph 2, of the Paris Agreement, may undergo a technical expert review at the Party's discretion.

## **C. Technical expert review format**

### **1. Definitions**

151. A technical expert review may be conducted as a centralized review, in-country review, desk review or simplified review.

152. A centralized review is when the members of a technical expert review team conduct the review from a single, centralized location. During a centralized review, a single technical expert review team could review several Parties.

153. An in-country review is when the members of a technical expert review team conduct the review in the country of the Party undergoing a technical expert review. In-country visits will be scheduled, be planned and take place with the consent of, and in close coordination with, the Party subject to review.

154. A desk review is when the members of a technical expert review team conduct the review remotely from their respective countries.

155. A simplified review of a Party's national inventory report involves the secretariat undertaking an initial assessment of completeness and consistency with these MPGs consistent with the initial assessment procedures.<sup>2</sup> A review of the findings of this initial assessment will form part of the consequent technical expert review of the Party's national inventory report.

## 2. Applicability

156. A Party's biennial transparency report that is not subject to an in-country or simplified review shall undergo a centralized or desk review.

157. The LDCs and SIDS may choose to participate in the same centralized review as a group. During a centralized group review, a single expert review team will review several biennial transparency reports from the LDCs and SIDS.

158. A Party shall undergo an in-country review for:

- (a) The first biennial transparency report;
- (b) At least two biennial transparency reports in a 10-year period, of which one is the biennial transparency report that contains information on the Party's achievement of its NDC under Article 4 of the Paris Agreement;
- (c) A biennial transparency report if recommended in the technical expert review of the Party's previous biennial transparency report;
- (d) A biennial transparency report upon the request of the Party under technical expert review.

159. Those developing country Parties that need flexibility in the light of their capacities with respect to paragraph 158 above have the flexibility to instead choose to undergo a centralized instead of an in-country review, but are encouraged to undergo an in-country review.

160. A desk review should not be conducted more often than once every five years, for the first biennial transparency report submitted following a Party's communication or update of its NDC under Article 4 or for a biennial transparency report that contains information on the Party's achievement of its NDC under Article 4.

161. A Party's national inventory report submitted in a year in which a biennial transparency report is not due shall be subject to a simplified review. A follow-up of the findings of the simplified review will form part of the technical expert review in the subsequent year.

## D. Procedures

162. For in-country, centralized and desk reviews:

- (a) The secretariat shall commence the preparation of the review process immediately following the submission of the information specified in chapter VII.B above and agree with the Party the dates of the technical expert review week at least 14 weeks prior to the technical expert review week. The secretariat may organize reviews of biennial transparency reports in a staggered manner between two consecutive reports;
- (b) The secretariat shall compose a technical expert review team at least 10 weeks prior to the technical expert review week;
- (c) The technical expert review team should communicate any preliminary questions to the Party at least four weeks prior to the technical expert review week. The technical expert review team may request additional information before or during the

<sup>2</sup> To be developed by the lead reviewers, with the assistance of the secretariat.

technical expert review week. 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;

(d) The technical expert review 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 technical expert review week;

(e) The technical expert review 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;

(f) The Party concerned shall then be given up to one month from its receipt to provide comments; those developing country Parties that need flexibility in the light of their capacities with respect to this provision have the flexibility to instead provide comments within three months of receipt of the draft technical expert review report;

(g) The technical expert review team shall prepare the final version of the technical expert review report, taking into account the comments of the Party, within one month of receipt of the comments;

(h) Taking into account the procedures in the preceding paragraphs, the technical expert review team shall make every effort to complete the technical expert review report as early as possible and no later than 12 months from the start of the technical expert review process.

163. For simplified reviews, the secretariat should prepare a draft initial assessment and send it to the Party within six weeks of the submission by the Party of the information specified in chapter VII.B above. The Party may then provide comments within four weeks of receipt of the draft initial assessment. The secretariat should address the Party’s comments and publish the final initial assessment on the UNFCCC website within four weeks of receipt of the Party’s comments.

## **E. Confidentiality**

164. A Party may designate information provided to the technical expert review team during the review as confidential. In such a case, the Party should provide the basis for protecting such information, and the technical expert review team and the secretariat shall not make the information publicly available. The obligation of the members of the technical expert review team to maintain confidentiality continues after the completion of the technical expert review.

## **F. Role of the Party**

165. The Party concerned shall cooperate with the technical expert review team and the secretariat and make every reasonable effort to respond to all questions and provide additional clarifying information and comments to the technical expert review report in a timely manner.

## **G. Role of the technical expert review team**

166. Technical experts, in conducting reviews, shall adhere to these MPGs.

167. Technical experts shall participate in the technical expert review in their individual expert capacity.



## **H. Role of the secretariat**

168. The secretariat shall organize technical expert reviews, including the coordination of a schedule, logistical and administrative arrangements of the review and provision of review tools and materials to the technical expert review team.

169. The secretariat, together with the lead reviewers referred to in chapter VII.I.3 below, shall facilitate communication between the Party and the technical expert review team.

170. The secretariat, under the guidance of the lead reviewers, shall compile and edit the final technical expert review reports.

171. The secretariat shall facilitate annual meetings of the lead reviewers.

## **I. Technical expert review team and institutional arrangements**

### **1. General**

172. Technical experts shall be nominated to the UNFCCC roster of experts by Parties and, as appropriate, by intergovernmental organizations.

173. Technical experts shall complete the training programme referred to in decision 18/CMA.1, paragraph 12(c), prior to serving on a technical expert review team.

174. Each transparency report submitted will be assigned to a single technical expert review team with members selected from the UNFCCC roster of experts.

### **2. Composition**

175. Technical experts shall have recognized competence in the areas to be reviewed.

176. The secretariat shall compose a technical review team in such a way that the collective skills and competencies of the technical expert review teams correspond to the information to be reviewed, as specified in chapter VII.B above, and that the teams include experts for each significant GHG inventory sector, mitigation, support, and cooperative approaches and internationally transferred mitigation outcomes under Article 6, and LULUCF, as relevant.

177. At least one team member should be fluent in a language of the Party under review, to the extent possible.

178. The secretariat shall select the members of the technical expert review team with a view to achieving a balance between experts from developed and developing country Parties. The secretariat shall ensure geographical and gender balance among the technical review experts, to the extent possible. When selecting members of the technical expert review team for centralized group reviews of biennial transparency reports from the LDCs and SIDS, the secretariat shall strive to include technical experts from the LDCs and SIDS.

179. Two successive reviews of a Party's submission cannot be performed by the same technical expert review team.

180. Every effort should be made to select lead reviewers who have participated in reviews under the Convention or Article 13 of the Paris Agreement.

181. The technical expert review team shall include two lead reviewers, one from a developed country Party and another from a developing country Party.

182. Experts from developing country Parties participating in the technical expert review team shall be funded according to the existing procedures for participation in UNFCCC activities.

### **3. Lead reviewers**

183. Lead reviewers shall oversee the work of the technical expert review team and act as co-lead reviewers, in accordance with these MPGs.

184. Lead reviewers should ensure that the technical expert reviews in which they participate are conducted in accordance with the MPGs contained in this chapter. The lead reviewers should also ensure the quality and objectivity of the technical expert review and provide for the continuity, consistency across Parties and timeliness of the technical expert reviews.

185. Lead reviewers shall communicate necessary information to the technical expert review team; monitor the progress of the technical expert review; coordinate the submission of queries of the technical expert review team to the Party concerned and coordinate the inclusion of the answers in the technical expert review report; give priority to issues raised in previous technical expert review reports; and provide technical advice to the members of the technical expert review team.

186. Lead reviewers shall meet annually at a lead reviewers' meeting to discuss how to improve the quality, efficiency and consistency of technical expert reviews, and develop conclusions on these meetings.

#### **J. Technical expert review report**

187. A technical expert review report shall contain the results of a technical expert review in accordance with the scope identified in chapter VII.A above.

188. Technical expert review reports shall be made publicly available on the UNFCCC website.

### **VIII. Facilitative, multilateral consideration of progress**

#### **A. Scope**

189. A facilitative, multilateral consideration of progress is undertaken with respect to the Party's efforts under Article 9 of the Paris Agreement and the Party's respective implementation and achievement of its NDC.

#### **B. Information to be considered**

190. Information to be considered in a facilitative, multilateral consideration of progress includes:

- (a) Information submitted by the Party as referred to in paragraph 10(a) and (b) and paragraph 10(d) and (e) above, as applicable;
- (b) The Party's technical expert review report pursuant to chapter VII.J above;
- (c) Any additional information provided by the Party for the purpose of the facilitative, multilateral consideration of progress.

#### **C. Format and steps**

191. A facilitative, multilateral consideration of progress shall include two phases: a written question and answer phase, followed by a working group session phase.

192. The written question and answer phase shall consist of the following steps:

- (a) Any Party may submit written questions to the Party concerned, consistent with the scope identified in chapter VIII.A above;
- (b) Such questions shall be submitted through an online platform that opens three months prior to the working group session. The Party concerned may respond to questions that are received later than two months prior to the working group session at its discretion;

(c) The Party in question shall make best efforts to respond in writing to the questions no later than one month prior to the working group session through the online platform; those developing country Parties that need flexibility in the light of their capacities with respect to this provision have the flexibility to instead submit written responses up to two weeks prior to the working group session. The Party may indicate in its response if it considers the written question to be outside the scope of a facilitative, multilateral consideration of progress;

(d) The secretariat shall compile the questions and answers and publish them on the UNFCCC website prior to the working group session phase.

193. The working group session phase shall take place during sessions of the Subsidiary Body for Implementation (SBI) and consist of the following steps:

(a) A presentation by the Party;

(b) A discussion session focused on the Party's presentation and the information identified in chapter VIII.B above. All Parties may participate in the discussion session and raise questions to the Party concerned. Working group sessions shall be open to observation by registered observers and shall be made publicly accessible through an online live recording;

(c) A Party may provide additional written responses to questions raised during the discussion session in writing through the online platform within 30 days following the session.

194. During the working group session phase of a facilitative, multilateral consideration of progress, the LDCs and SIDS may choose to participate as a group.

195. The secretariat shall establish an online platform to, inter alia:

(a) Allow a Party to hold a webinar ahead of and/or after an SBI session;

(b) Facilitate the written question and answer phase;

(c) Facilitate the working group session phase, including by allowing participation during the working group session by experts in remote locations.

196. The secretariat shall also coordinate the practical arrangements of a facilitative, multilateral consideration of progress.

#### **D. Frequency and timing**

197. A facilitative, multilateral consideration of progress will take place as soon as possible following the publication of a Party's technical expert review report. Should the technical expert review report not be available within 12 months of the submission of the Party's biennial transparency report, the secretariat will make arrangements for the Party to participate in a facilitative, multilateral consideration of progress at the next available opportunity.

198. If a Party does not submit a biennial transparency report within 12 months of the due date identified in decision 18/CMA.1, the secretariat, in consultation with the Party concerned, will make arrangements for the Party to participate in a facilitative, multilateral consideration of progress at the next available opportunity.

#### **E. Record**

199. Within one month of the working group session, the secretariat shall prepare and publish on the UNFCCC website a record of the facilitative, multilateral consideration of progress for the Party concerned, which will include:

(a) Questions submitted and responses provided;

(b) A copy of the Party's presentation;

- (c) A recording of the working group session;
- (d) A procedural summary of the Party's facilitative, multilateral consideration of progress;
- (e) Any additional information generated through the online platform, as available.

*26<sup>th</sup> plenary meeting  
15 December 2018*

## Decision 19/CMA.1

### Matters relating to Article 14 of the Paris Agreement and paragraphs 99–101 of decision 1/CP.21

*The Conference of the Parties serving as the meeting of the Parties to the Paris Agreement,*

*Recalling* Articles 2 and 14 of the Paris Agreement, decision 1/CP.21, paragraphs 99–101, and other relevant Articles of the Paris Agreement and paragraphs of decision 1/CP.21,

*Recognizing* that the global stocktake referred to in Article 14 of the Paris Agreement is crucial for enhancing the collective ambition of action and support towards achieving the purpose and long-term goals of the Paris Agreement,

#### I. Modalities

##### *Overarching elements*

1. *Recalls*, as provided in Article 14, paragraph 1, of the Paris Agreement, that the Conference of the Parties serving as the meeting of the Parties to the Paris Agreement shall periodically take stock of the implementation of the Paris Agreement to assess the collective progress towards achieving the purpose of the Agreement and its long-term goals, and that it shall do so in a comprehensive and facilitative manner, considering mitigation, adaptation and the means of implementation and support, and in the light of equity and the best available science;

2. *Decides* that equity and the best available science will be considered in a Party-driven and cross-cutting manner, throughout the global stocktake;

3. *Also decides* that the global stocktake will consist of the following components:

(a) Information collection and preparation, focusing on gathering, compiling and synthesizing information and preparing for conducting the technical assessment referred to in paragraph 3(b) below;

(b) Technical assessment, focusing on taking stock of the implementation of the Paris Agreement to assess the collective progress towards achieving the purpose and long-term goals of the Paris Agreement, as well as opportunities for enhanced action and support to achieve its purpose and goals;

(c) Consideration of outputs, focusing on discussing the implications of the findings of the technical assessment with a view to achieving the outcome of the global stocktake of informing Parties in updating and enhancing, in a nationally determined manner, their actions and support, in accordance with relevant provisions of the Paris Agreement, as well as in enhancing international cooperation for climate action;

4. *Further decides* that the global stocktake will be conducted with the assistance of the Subsidiary Body for Implementation and the Subsidiary Body for Scientific and Technological Advice, which will establish a joint contact group on the matter;

5. *Resolves* to engage in a technical dialogue that aims to support the work of the joint contact group referred to in paragraph 4 above through expert consideration of inputs, as identified in the sources of input referred to in paragraphs 36 and 37 below for the global stocktake;

6. *Decides* to establish the technical dialogue referred to in paragraph 5 above, which will:

(a) Undertake its work through a focused exchange of views, information and ideas in in-session round tables, workshops or other activities;

(b) Organize its work in line with taking stock of the implementation of the Paris Agreement to assess the collective progress towards achieving its purpose and long-term goals, including under Article 2, paragraph 1(a–c), in the thematic areas of mitigation, adaptation and means of implementation and support, noting, in this context, that the global stocktake may take into account, as appropriate, efforts related to its work that:

(i) Address the social and economic consequences and impacts of response measures;

(ii) Avert, minimize and address loss and damage associated with the adverse effects of climate change;

(c) Be facilitated by two co-facilitators,<sup>1</sup> who will be responsible for conducting the dialogue and for preparing a factual synthesis report and other outputs of the technical assessment, with the assistance of the secretariat;

7. *Requests* the Chairs of the Subsidiary Body for Scientific and Technological Advice and the Subsidiary Body for Implementation to develop guiding questions for all components of the global stocktake, including specific thematic and cross-cutting questions, one session of the subsidiary bodies prior to the relevant activities under the global stocktake being carried out;

8. *Decides* that the information collection and preparation component of the global stocktake will commence one session before the start of the technical assessment, which will take place during the two (or depending on the timing of the publication of the Intergovernmental Panel on Climate Change reports, three) successive sessions of the subsidiary bodies preceding the sixth session of the Conference of the Parties serving as the meeting of the Parties to the Paris Agreement (November 2023), during which the consideration of outputs will take place, with the cycle repeating every five years thereafter;

9. *Also decides* that the global stocktake will be conducted in a comprehensive, facilitative, effective and efficient manner, avoiding duplication of work and taking into account the results of relevant work conducted under the Paris Agreement, the Convention and the Kyoto Protocol;

10. *Further decides* that the global stocktake will be a Party-driven process conducted in a transparent manner and with the participation of non-Party stakeholders, and that, to support such effective and equitable participation, all inputs will be fully accessible by Parties, including online, as referred to in paragraph 21 below;

11. *Decides* that the participation of Parties in the global stocktake should be ensured through the provision of adequate funding for the participation and representation of developing country Parties in all activities under the global stocktake, including the technical dialogue, workshops, round tables and sessions of the subsidiary bodies and the Conference of the Parties serving as the meeting of the Parties to the Paris Agreement that feature global stocktake activities, in accordance with existing practices;

12. *Invites* developed country Parties to mobilize support for capacity-building so that the least developed countries, small island developing States and other developing countries can effectively participate in the global stocktake and take up relevant global stocktake information;

13. *Decides* that the outputs of the components of the global stocktake referred to in paragraph 3 above should summarize opportunities and challenges for enhancing action and support in the light of equity and the best available science, as well as lessons learned and good practices, with a view to achieving the outcome identified in Article 14, paragraph 3, of the Paris Agreement;

14. *Emphasizes* that the outputs of the global stocktake should focus on taking stock of the implementation of the Paris Agreement to assess collective progress, have no individual Party focus, and include non-policy prescriptive consideration of collective progress that Parties can use to inform the updating and enhancing, in a nationally determined manner, of

---

<sup>1</sup> One from a developing country Party and one from a developed country Party selected by Parties.

their actions and support in accordance with relevant provisions of the Paris Agreement as well as in enhancing international cooperation for climate action;

15. *Decides* to consider refining the procedural and logistical elements of the overall global stocktake process on the basis of experience gained from the first and subsequent global stocktakes, as appropriate;

16. *Requests* the Chairs of the Subsidiary Body for Scientific and Technological Advice and the Subsidiary Body for Implementation to organize the global stocktake in a flexible and appropriate manner, to work on identifying opportunities for learning-by-doing, including for assessing collective progress, and to take the necessary steps for the consideration of inputs as they become available;

17. *Invites* Parties to present their nationally determined contributions, informed by the outcome of the global stocktake, at a special event held under the auspices of the Secretary-General of the United Nations;

18. *Recognizes* that other related events within and outside the UNFCCC can contribute to the global stocktake and the implementation of its outcome;

*Information collection and preparation*

19. *Requests* the Chairs of the Subsidiary Body for Scientific and Technological Advice and the Subsidiary Body for Implementation to issue a call for the inputs referred to in paragraphs 36 and 37 below, taking into account that such inputs should be submitted at least three months before their consideration in the technical assessment;

20. *Decides* that the information collection and preparation component of the global stocktake will end no later than six months before the consideration of outputs to ensure timely consideration of inputs, unless critical information that requires consideration emerges after the cut-off date;

21. *Requests* the secretariat to facilitate online availability of all inputs to the global stocktake from Parties, by thematic area, and to organize a webinar to clarify the methodologies and assumptions used to aggregate the inputs, to be held after the deadline for submission of inputs referred to in paragraph 19 above and prior to the commencement of the technical assessment;

22. *Invites* the secretariat to start compiling for the technical assessment the most up-to-date inputs from the sources identified in paragraph 37 below two sessions of the subsidiary bodies prior to the assessment;

23. *Requests* the secretariat, under the guidance of the co-facilitators referred to in paragraph 6(c) above, to prepare for the technical assessment:

(a) A synthesis report on the information identified in paragraph 36(a) below, taking into account previous experience in preparing such reports;

(b) A synthesis report on the state of adaptation efforts, experience and priorities, summarizing the most recent information identified in paragraph 36(c) below;

(c) A synthesis report on the overall effect of nationally determined contributions communicated by Parties, summarizing the most recent information identified in paragraph 36(b) below;

(d) A synthesis report on the information identified in paragraph 36(d) below;

24. *Invites* the relevant constituted bodies and forums and other institutional arrangements under or serving the Paris Agreement and/or the Convention<sup>2</sup> to prepare for the technical

<sup>2</sup> Currently, the constituted bodies and forums are the Adaptation Committee, the Least Developed Country Expert Group, the Technology Executive Committee, the Standing Committee on Finance, the Paris Committee on Capacity-building, the Executive Committee of the Warsaw International Mechanism for Loss and Damage associated with Climate Change Impacts, the Consultative Group of Experts, the forum on the impact of the implementation of response measures, and the Local Communities and Indigenous Peoples Platform Facilitative Working Group.

assessment, with the assistance of the secretariat, synthesis reports on the information identified in paragraph 36 below in their areas of expertise;

25. *Requests* the Subsidiary Body for Scientific and Technological Advice and the Subsidiary Body for Implementation to identify potential information gaps in relation to the global stocktake and, where necessary and feasible, to make requests for additional input, taking into account the cut-off date for the information collection and preparation component of the global stocktake and the need to consider critical information, and taking into account the relevant gaps identified in the reports of the Intergovernmental Panel on Climate Change and their impacts in relation to the purpose and long-term goals of the Paris Agreement;

#### *Technical assessment*

26. *Notes* that, to make effective use of time, the technical assessment could overlap with the information collection and preparation component of the global stocktake;

27. *Confirms* that all the inputs and topics, in particular the linkage among various issues, should be discussed in a balanced, holistic and comprehensive manner with a balanced allocation of time between thematic areas, taking into account equity considerations and the best available science;

28. *Recognizes*, taking into consideration the advice provided by the Subsidiary Body for Scientific and Technological Advice<sup>3</sup> pursuant to decision 1/CP.21, paragraph 100, that the assessments of the Intergovernmental Panel on Climate Change should be considered in an effective and balanced manner, taking into account lessons learned from past experience;

29. *Also recognizes* that a dialogue between Intergovernmental Panel on Climate Change experts and Parties through Subsidiary Body for Scientific and Technological Advice–Intergovernmental Panel on Climate Change special events should be used to enable a focused scientific and technical exchange of information on the findings in Intergovernmental Panel on Climate Change products in an open and transparent manner, and that the Subsidiary Body for Scientific and Technological Advice–Intergovernmental Panel on Climate Change Joint Working Group should continue to be used to enhance communication and coordination between the Subsidiary Body for Scientific and Technological Advice and the Intergovernmental Panel on Climate Change in the context of the global stocktake;

30. *Decides* that the technical dialogue referred to in paragraph 6 above will be open, inclusive, transparent and facilitative, and will allow Parties to engage and hold discussions with the constituted bodies and forums and other institutional arrangements under or serving the Paris Agreement and/or the Convention and experts and to consider inputs and assess collective progress;

31. *Also decides* that the co-facilitators of the technical dialogue will summarize its outputs in summary reports, taking into account equity and the best available science, for each thematic area referred to in paragraph 6(b) above and an overarching factual synthesis of these reports in a cross-cutting manner;

32. *Further decides* that the forum on the impact of the implementation of response measures will summarize its outcome in accordance with the relevant elements of its modalities, work programme and functions pursuant to decision 1/CP.21, paragraph 34;

#### *Consideration of outputs*

33. *Decides* that the consideration of outputs will consist of high-level events where the findings of the technical assessment will be presented and their implications discussed and considered by Parties, and that the events will be chaired by a high-level committee consisting of the Presidencies of the Conference of the Parties serving as the meeting of the Parties to the Paris Agreement and the Chairs of the Subsidiary Body for Scientific and Technological Advice and the Subsidiary Body for Implementation;

---

<sup>3</sup> See document FCCC/SBSTA/2016/4, paragraph 56.



34. *Also decides* that the outputs of this component of the global stocktake should:

- (a) Identify opportunities for and challenges in enhancing action and support for collective progress in relation to the thematic areas of the global stocktake referred to in paragraph 6(b) above, as well as possible measures and good practices and international cooperation and related good practices;
- (b) Summarize key political messages, including recommendations arising from the events referred to in paragraph 33 above for strengthening action and enhancing support;
- (c) Be referenced in a decision for consideration and adoption by the Conference of the Parties serving as the meeting of the Parties to the Paris Agreement and/or a declaration;

## II. Sources of input

35. *Decides* that the sources of input for the global stocktake should inform the thematic areas referred to in paragraph 6(b) above;

36. *Also decides* that the sources of input for the global stocktake will consider information at a collective level on:

- (a) The state of greenhouse gas emissions by sources and removals by sinks and mitigation efforts undertaken by Parties, including the information referred to in Article 13, paragraph 7(a), and Article 4, paragraphs 7, 15 and 19, of the Paris Agreement;
- (b) The overall effect of Parties' nationally determined contributions and overall progress made by Parties towards the implementation of their nationally determined contributions, including the information referred to in Article 13, paragraph 7(b), of the Paris Agreement;
- (c) The state of adaptation efforts, support, experience and priorities, including the information referred to in Article 7, paragraphs 2, 10, 11 and 14, of the Paris Agreement, and the reports referred to in Article 13, paragraph 8, of the Paris Agreement;
- (d) The finance flows, including the information referred to in Article 2, paragraph 1(c), and means of implementation and support and mobilization and provision of support, including the information referred to in Article 9, paragraphs 4 and 6, Article 10, paragraph 6, Article 11, paragraph 3, and Article 13, in particular paragraphs 9 and 10, of the Paris Agreement. This should include information from the latest biennial assessment and overview of climate finance flows of the Standing Committee on Finance;
- (e) Efforts to enhance understanding, action and support, on a cooperative and facilitative basis, related to averting, minimizing and addressing loss and damage associated with the adverse effects of climate change;
- (f) Barriers and challenges, including finance, technology<sup>4</sup> and capacity-building gaps, faced by developing countries;
- (g) Good practices, experience and potential opportunities to enhance international cooperation on mitigation and adaptation and to increase support under Article 13, paragraph 5, of the Paris Agreement;
- (h) Fairness considerations, including equity, as communicated by Parties in their nationally determined contributions;

37. *Decides* that the sources of input for the global stocktake include:

- (a) Reports and communications from Parties, in particular those submitted under the Paris Agreement and the Convention;
- (b) The latest reports of the Intergovernmental Panel on Climate Change, pursuant to decision 1/CP.21, paragraph 99;

---

<sup>4</sup> Including outputs of the periodic assessment of the Technology Mechanism as referred to in decision 16/CMA.1.

- (c) Reports of the subsidiary bodies, pursuant to decision 1/CP.21, paragraph 99;
- (d) Reports from relevant constituted bodies and forums and other institutional arrangements under or serving the Paris Agreement and/or the Convention;
- (e) The synthesis reports by the secretariat referred to in paragraph 23 above;
- (f) Relevant reports from United Nations agencies and other international organizations, which should be supportive of the UNFCCC process;
- (g) Voluntary submissions from Parties, including on inputs to inform equity considerations under the global stocktake;
- (h) Relevant reports from regional groups and institutions;
- (i) Submissions from non-Party stakeholders and UNFCCC observer organizations;

38. *Invites* the Subsidiary Body for Scientific and Technological Advice to complement the non-exhaustive lists in paragraphs 36 and 37 above at its session held prior to the information collection and preparation component of the global stocktake, as appropriate, taking into account the thematic areas of the global stocktake and the importance of leveraging national-level reporting.

*26<sup>th</sup> plenary meeting  
15 December 2018*

## **Decision 20/CMA.1**

### **Modalities and procedures for the effective operation of the committee to facilitate implementation and promote compliance referred to in Article 15, paragraph 2, of the Paris Agreement**

*The Conference of the Parties serving as the meeting of the Parties to the Paris Agreement,*

*Recalling* Article 15 of the Paris Agreement and decision 1/CP.21, paragraphs 102 and 103,

1. *Adopts* the modalities and procedures for the effective operation of the committee referred to in Article 15, paragraph 2, of the Paris Agreement as contained in the annex;
2. *Decides* to undertake, at the seventh session of the Conference of the Parties serving as the meeting of the Parties to the Paris Agreement (2024), the first review of the modalities and procedures referred to in paragraph 1 above on the basis of experience gained with their implementation and taking into account any recommendations of the committee referred to in paragraph 1 above, and to consider conducting further reviews on a regular basis;
3. *Takes note* of the estimated budgetary implications of the activities to be undertaken by the secretariat pursuant to the provisions contained in the annex;
4. *Requests* that the actions of the secretariat called for in this decision be undertaken subject to the availability of financial resources.

## **Annex**

### **Modalities and procedures for the effective operation of the committee referred to in Article 15, paragraph 2, of the Paris Agreement**

#### **I. Purpose, principles, nature, functions and scope**

1. The mechanism to facilitate implementation of and promote compliance with the provisions of the Paris Agreement established under Article 15 of the Agreement consists of a committee (hereinafter referred to as the Committee).
2. The Committee shall be expert-based and facilitative in nature and function in a manner that is transparent, non-adversarial and non-punitive. The Committee shall pay particular attention to the respective national capabilities and circumstances of Parties.
3. The Committee's work shall be guided by the provisions of the Paris Agreement, including its Article 2.
4. In carrying out its work, the Committee shall strive to avoid duplication of effort, shall neither function as an enforcement or dispute settlement mechanism, nor impose penalties or sanctions, and shall respect national sovereignty.

#### **II. Institutional arrangements**

5. The Committee shall consist of 12 members with recognized competence in relevant scientific, technical, socioeconomic or legal fields to be elected by the Conference of the Parties serving as the meeting of the Parties to the Paris Agreement (CMA) on the basis of equitable geographical representation, with 2 members each from the five regional groups of the United Nations and 1 member each from the small island developing States and the least developed countries, taking into account the goal of gender balance.
6. The CMA shall elect members of the Committee as well as an alternate for each member, taking into account the expert-based nature of the Committee and striving to reflect the diversity of expertise referred to in paragraph 5 above.
7. Members and alternate members shall be elected to the Committee to serve for a period of three years and for a maximum of two consecutive terms.
8. At CMA 2 (December 2019), six members and six alternate members shall be elected to the Committee for an initial term of two years and six members and six alternate members for a term of three years. Thereafter, the CMA shall elect at its relevant regular sessions six members and six alternate members for a term of three years. The members and alternate members shall remain in office until their successors are elected.
9. If a member of the Committee resigns or is otherwise unable to complete the assigned term or to perform the functions in the Committee, an expert from the same Party shall be named by that Party to replace said member for the remainder of the unexpired term.
10. Members and alternate members of the Committee shall serve in their individual expert capacity.
11. The Committee shall elect from among its members two Co-Chairs for a period of three years, taking into account the need to ensure equitable geographical representation. The Co-Chairs shall perform the functions to be elaborated in the rules of procedure of the Committee referred to in paragraphs 17 and 18 below.
12. Unless otherwise decided, the Committee shall meet at least twice a year, beginning in 2020. In scheduling its meetings, the Committee should take into account the desirability of holding its meetings in conjunction with sessions of the subsidiary bodies serving the Paris Agreement, as appropriate.

13. Only members and alternate members of the Committee and secretariat officials shall be present during the elaboration and adoption of a decision of the Committee.
14. The Committee, any Party or others involved in the process of the consideration by the Committee shall protect the confidentiality of information received in confidence.
15. The adoption of decisions by the Committee shall require a quorum of 10 of the members to be present.
16. The Committee shall make every effort to reach agreement on any decision by consensus. If all efforts at reaching consensus have been exhausted, as a last resort, the decision may be adopted by at least three quarters of the members present and voting.
17. The Committee shall develop rules of procedure with a view to recommending them to the CMA for consideration and adoption at CMA 3 (November 2020), informed by the principles of transparency, facilitation, the non-adversarial and non-punitive function, and paying particular attention to the respective national capabilities and circumstances of Parties.
18. The rules of procedure referred to in paragraph 17 above will address any matters necessary for the proper and effective functioning of the Committee, including the role of the Committee Co-Chairs, conflict of interest, any additional timelines related to the Committee's work, procedural stages and timelines for the Committee's work, and reasoning in decisions of the Committee.

### **III. Initiation and process**

19. In exercising its functions referred to in paragraphs 20 and 22 below, and subject to these modalities and procedures, the Committee shall apply the relevant rules of procedure to be developed pursuant to paragraphs 17 and 18 above and shall be guided by the following:
- (a) Nothing in the work of the Committee may change the legal character of the provisions of the Paris Agreement;
  - (b) In considering how to facilitate implementation and promote compliance, the Committee shall endeavour to constructively engage with and consult the Party concerned at all stages of the process, including by inviting written submissions and providing opportunities to comment;
  - (c) The Committee shall pay particular attention to the respective national capabilities and circumstances of Parties, recognizing the special circumstances of the least developed countries and small island developing States, at all stages of the process, in accordance with the provisions of the Paris Agreement, including in determining how to consult with the Party concerned, what assistance can be provided to the Party concerned to support its engagement with the Committee, and what measures are appropriate to facilitate implementation and promote compliance in each situation;
  - (d) The Committee should take into account the work being undertaken by other bodies and under other arrangements as well as through forums serving or established under the Paris Agreement with a view to avoiding duplication of mandated work;
  - (e) The Committee should take into account considerations related to the impacts of response measures.
20. The Committee should consider issues related to, as appropriate, a Party's implementation of or compliance with the provisions of the Paris Agreement on the basis of a written submission from that Party with respect to its own implementation of and/or compliance with any provision of the Paris Agreement.
21. The Committee will undertake a preliminary examination of the submission within the timeline to be elaborated in the rules of procedure referred to in paragraphs 17 and 18 above with a view to verifying that the submission contains sufficient information, including on whether the matter relates to the Party's own implementation of or compliance with a provision of the Paris Agreement.
22. The Committee:

- (a) Will initiate the consideration of issues in cases where a Party has not:
  - (i) Communicated or maintained a nationally determined contribution under Article 4 of the Paris Agreement, based on the most up-to-date status of communication in the public registry referred to in Article 4, paragraph 12, of the Paris Agreement;
  - (ii) Submitted a mandatory report or communication of information under Article 13, paragraphs 7 and 9, or Article 9, paragraph 7, of the Paris Agreement;
  - (iii) Participated in the facilitative, multilateral consideration of progress, based on information provided by the secretariat;
  - (iv) Submitted a mandatory communication of information under Article 9, paragraph 5, of the Paris Agreement;

(b) May, with the consent of the Party concerned, engage in a facilitative consideration of issues in cases of significant and persistent inconsistencies of the information submitted by a Party pursuant to Article 13, paragraphs 7 and 9, of the Paris Agreement with the modalities, procedures and guidelines referred to in Article 13, paragraph 13, of the Paris Agreement. This consideration will be based on the recommendations made in the final technical expert review reports, prepared under Article 13, paragraphs 11 and 12, of the Agreement, together with any written comments provided by the Party during the review. In its consideration of such matters, the Committee shall take into account Article 13, paragraphs 14 and 15, of the Agreement, as well as the flexibility provided in the provisions of the modalities, procedures and guidelines under Article 13 of the Paris Agreement for those developing country Parties that need it in the light of their capacities.

23. The consideration of the issues referred to in paragraph 22(a) above will not address the content of the contributions, communications, information and reports referred to in paragraph 22(a)(i–iv) above.

24. Where the Committee decides to initiate a consideration as referred to in paragraph 22 above, it shall notify the Party concerned and request it to provide the necessary information on the matter.

25. With respect to the consideration by the Committee of matters initiated in accordance with the provisions of paragraphs 20 or 22 above and further to the rules of procedure referred to in paragraphs 17 and 18 above:

(a) The Party concerned may participate in the discussions of the Committee, except during the Committee’s elaboration and adoption of a decision;

(b) If so requested in writing by the Party concerned, the Committee shall hold a consultation during the meeting at which the matter with respect to that Party is to be considered;

(c) In the course of its consideration, the Committee may obtain additional information as referred to in paragraph 35 below or, as appropriate and in consultation with the Party concerned, invite representatives of relevant bodies and arrangements under or serving the Paris Agreement to participate in its relevant meetings;

(d) The Committee shall send a copy of its draft findings, draft measures and any draft recommendations to the Party concerned and shall take into account any comments made by the Party when finalizing those findings, measures and recommendations.

26. The Committee will accord flexibility with regard to timelines of the procedures under Article 15 as may be needed by Parties, paying particular attention to their respective national capabilities and circumstances.

27. Subject to the availability of financial resources, assistance should be provided, upon request, to developing country Parties concerned to enable their necessary participation in the relevant meetings of the Committee.

## IV. Measures and outputs

28. In identifying the appropriate measures, findings or recommendations, the Committee shall be informed by the legal nature of the relevant provisions of the Paris Agreement, shall take into account the comments received from the Party concerned and shall pay particular attention to the national capabilities and circumstances of the Party concerned. Special circumstances of small island developing States and the least developed countries, as well as situations of force majeure, should also be recognized, where relevant.

29. The Party concerned may provide to the Committee information on particular capacity constraints, needs or challenges, including in relation to support received, for the Committee's consideration in its identification of appropriate measures, findings or recommendations.

30. With a view to facilitating implementation and promoting compliance, the Committee shall take appropriate measures. These may include the following:

(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 finance, technology and capacity-building support, as appropriate;

(b) Assist the Party concerned in the engagement with the appropriate finance, technology and capacity-building bodies or arrangements under or serving the Paris Agreement in order to identify possible challenges and solutions;

(c) Make recommendations to the Party concerned with regard to challenges and solutions referred to in paragraph 30(b) above and communicate such recommendations, with the consent of the Party concerned, to the relevant bodies or arrangements, as appropriate;

(d) Recommend the development of an action plan and, if so requested, assist the Party concerned in developing the plan;

(e) Issue findings of fact in relation to matters of implementation and compliance referred to in paragraph 22(a) above.

31. The Party concerned is encouraged to provide information to the Committee on the progress made in implementing the action plan referred to in paragraph 30(d) above.

## V. Consideration of systemic issues

32. The Committee may identify issues of a systemic nature with respect to the implementation of and compliance with the provisions of the Paris Agreement faced by a number of Parties and bring such issues and, as appropriate, any recommendations to the attention of the CMA for its consideration.

33. The CMA may, at any time, request the Committee to examine issues of a systemic nature. Following its consideration of the issue, the Committee shall report back to the CMA and, where appropriate, make recommendations.

34. In addressing systemic issues, the Committee shall not address matters that relate to the implementation of and compliance with the provisions of the Paris Agreement by an individual Party.

## VI. Information

35. 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.

## **VII. Relationship with the Conference of the Parties serving as the meeting of the Parties to the Paris Agreement**

36. Pursuant to Article 15 of the Paris Agreement, the Committee shall report annually to the CMA.

## **VIII. Secretariat**

37. The secretariat referred to in Article 17 of the Paris Agreement shall serve as the secretariat of the Committee.

*26th plenary meeting  
15 December 2018*



## **Resolution 3/CMA.1**

### **Expression of gratitude to the Government of the Republic of Poland and the people of the city of Katowice**

#### **Resolution submitted by Fiji**

*The Conference of the Parties, the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol and the Conference of the Parties serving as the meeting of the Parties to the Paris Agreement,*

*Having met* in Katowice from 2 to 14 December 2018,

1. *Express their profound gratitude* to the Government of the Republic of Poland for having made it possible for the twenty-fourth session of the Conference of the Parties, the fourteenth session of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol and the third part of the first session of the Conference of the Parties serving as the meeting of the Parties to the Paris Agreement to be held in Katowice;
2. *Request* the Government of the Republic of Poland to convey to the city and people of Katowice the gratitude of the Conference of the Parties, the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol and the Conference of the Parties serving as the meeting of the Parties to the Paris Agreement for the hospitality and warmth extended to the participants.

*28<sup>th</sup> plenary meeting  
15 December 2018*

---