

SUBMISSION BY COSTA RICA ON BEHALF OF THE AILAC GROUP OF COUNTRIES COMPOSED BY CHILE, COLOMBIA, COSTA RICA, HONDURAS, GUATEMALA, PANAMA, PARAGUAY AND PERU ON ITEM 16 OF THE SBI AGENDA: GENDER AND CLIMATE CHANGE

Views on Possible elements and guiding principles for continuing and enhancing the Lima Work Programme on Gender, taking into account recommendations and insights resulting from activities already completed under the work programme; and, Information on progress made in meeting the goals of achieving gender balance and gender-responsive climate policy.

Background elements

At its 44th session the SBI invited Parties and observer organizations to submit their views on possible elements and guiding principles for continuing and enhancing the Lima Work Programme on Gender. Following this invitation, AILAC countries hereby propose some elements to be included in the decision to be adopted by the Conference of the Parties at its 22nd Session in Marrakesh, Morocco on November 2016.

In accordance with the Paris Agreement (preamble paragraph 11) and Decision 1/CP.21 (preamble paragraph 7), and building on the previous decisions taken by the UNFCCC on the issue of Gender and Climate Change, Parties should consider gender equality when taking action to address climate change. The continuation and enhancement of the Lima Work Programme on Gender (LWPG) is coherent with this mandate, with a view to advance and mainstream gender considerations in the implementation of the Paris Agreement.

Elements for a Decision on Gender and Climate Change by COP22

Framing Considerations

AILAC considers that the mainstreaming of gender considerations in taking action to address climate change is an important element in the effective and efficient implementation of the Paris Agreement as well as the fulfilment of the commitments under the Convention. Gender equality should be underpinned in these as a developmental concern and a matter of human rights, and as such, further decisions on Gender and Climate Change by the COP and -when the time comes- the CMA, should aim at operationalizing the mainstreaming of gender considerations in a manner that effectively fulfils the preamble of the Paris Agreement and Decision 1/CP.21.

In this context, AILAC supports that the following elements are included in the preamble of the Decision on Gender and Climate Change that is to be adopted by COP 22:

- Recognition of the elements within decision 1/CP. 21 and the Paris Agreement that establish that Parties should consider gender equality when taking action to address climate change.
- Underscoring the importance of coherence between gender-responsive climate policies and balanced participation of women and men in the formulation of these policies, including also, the UNFCCC process, and other international instruments such as the Convention on the Elimination of All Forms of Discrimination against Women and the Beijing Declaration and Platform for Action, as was contained in the preamble paragraph 2 of the decision 18/CP.20;

- Recognition that the 2030 Agenda for Sustainable Development, in its paragraph 20 establishes that realizing “gender equality and the empowerment of women and girls will make a crucial contribution to progress across all the Goals and targets”, and that “the systematic mainstreaming of a gender perspective in the implementation of the Agenda is crucial”
- Recollection of SDG Goal 13 that calls to “take urgent action to combat climate change and its impacts” and its related target 13.b, which aims to “promote mechanisms for raising capacity for effective climate change-related planning and management (...), including focusing on women, youth and local and marginalized communities”;
- Acknowledgement of the progress made in mainstreaming gender and achieving gender equality within the context of climate change policies, including under the UNFCCC and the progress achieved in the context of furthering the implementation of Decision 18/CP. 20 so as to mainstream gender considerations into all elements of climate action, including in particular, adaptation and capacity building, and for all sectors, in particular, agriculture, health, forestry, waste, and energy.
- Acknowledgement of the contribution of the Lima Work Programme on Gender and Decision 23/CP.18 on improving women’s participation in broadening the understanding of gender issues and their linkages in the various thematic areas of work of the UNFCCC.
- Recognition of the efforts made by Parties in the implementation of the LWPG, and the support received by the Secretariat, relevant international organizations and other non-state actors.
- Consideration that further progress is needed in achieving the goal of gender balance, in particular the aim of a gradual but significant increase in the participation of women towards achieving this goal, as called for in Decision 23/CP.18 mindful of the efforts that have been undertaken in capacity building of negotiators and in particular female delegates.
- Emphasizing the remaining gaps and challenges for mainstreaming gender considerations into climate change – related actions, in particular those related to gender-responsive climate policy and the mainstreaming of gender considerations as appropriate in the thematic areas of the UNFCCC and the Paris Agreement which still require further strengthening in all activities related to adaptation and mitigation as well as decision-making on the implementation of climate policies.

Advancing Gender Mainstreaming in Climate Action

The SBI 44 expressed its support for the continuation and enhancement of the LWPG and also agreed to continue the discussion on this item at SBI 45. In this regard, AILAC is proposing some concrete ideas and suggestions to enhance the LWPG and to strengthen its implementation, with a view to mainstream gender equality in the different areas of climate action as developed under the UNFCCC and the Paris Agreement:

- (i) *Advancing the Lima Work Programme on Gender*

AILAC suggests that COP22 adopts a decision for a standing Lima Work Programme on Gender, establishing a multi-year mandate, to be revised every four years, which addresses, amongst others, the following elements:

- (i) Facilitation of information and expertise sharing, to promote better and common understanding of gender-responsive: policies, adaptation, mitigation, technology development and transfer, capacity-building and finance;
- (ii) Strengthening of cooperation and partnerships within the UN System, and with other relevant international organizations, academic, research, scientific community, private sector, and non-governmental actors;
- (iii) Formulating a Gender Action Plan and a multi-year gender work programme, to guide the work of the Secretariat on these matters.

For this purpose, Parties, the financial mechanism and its operating entities, as well as relevant organizations are to be invited to provide the necessary means for implementing gender-related activities within the LWPG, in particular to support action by highly vulnerable countries, such as the AILAC Countries.

- (ii) Regarding instruments to advance the mainstreaming of gender considerations into all elements of climate action and policy instruments

Amongst the activities to be undertaken in the context of the LWPG aimed at advancing gender equality in the different elements of climate action, AILAC suggests the realization of annual in-session workshops with focus on the mainstreaming gender equality issues within a specific area of climate action to review progress during SBs (first semester of the year), in the context of the UNFCCC and the implementation of the Paris Agreement. Such workshops should allow for the sharing of good practices, lessons learned, traditional knowledge held by women, case studies in integrating gender and climate change and gender-responsiveness, bearing in mind the context of preparation and implementation of NDCs, including, as appropriate, mitigation and adaptation efforts. This approach could follow the formats of previous UNFCCC workshops developed under the Lima Work Programme and produce conclusions and recommendations to be considered by the SBI.

Further to this, targeted in-session workshops may address, amongst others, the following issues:

- a. Development of gender responsive policies
- b. Gender perspective in the context of the financial mechanism, in particular the GEF, GCF and for the provision and mobilization of climate finance;
- c. Preparation of national communications; preparation and implementation of NDCs, technology development and needs assessment; National Adaptation Plans;
- d. Regional NDCs workshops, to mainstream gender approach on the different elements of climate action.
- e. Dedicated training for delegates on negotiating skills, with particular attention given to the participation of female delegates, before each session.
- f. Permanent online workshop on gender-responsiveness to climate change

When organizing these and other workshops, it is important to consider, incorporate, and highlight linkages between gender and climate change, preparing technical papers, or other documents, in any area under the Convention or the Kyoto Protocol and the Paris Agreement,

taking in consideration the results and recommendations from in-session workshops and the Secretariat's technical paper on gender prepared under the Lima Work Programme on Gender.

Following this approach, a gender perspective should also be taken into consideration in the organization of the TEMS on mitigation and adaptation, according the mandate contained in paragraphs 111 and 129 of the decision 1/CP.21.

A systematic consideration of gender issues in the activities and work of the UNFCCC is needed in line with decision 1/CP.21 and the Paris Agreement. In assisting this task, the Secretariat can be requested to maintain a repository of information and analysis, existing tools, expertise, gaps in data and analysis.

A Decision by COP22 should encourage Parties to take advantage of existing tools and guidelines for mainstreaming gender as part of National Communications, the NAP process, the TNA process, REDD-plus, National Climate Policies and Programmes as well as the gender policies and gender equality action plans of the GEF and the GCF. National guidelines and methodologies should also be encouraged so as to implement actions that reduce vulnerability of rural populations, particularly women.

Further to this, support should be made available for Parties in their efforts to mainstream gender equality in all the processes under the UNFCCC, including the preparation, revision, reporting and implementation of the NDCs, NAPs, national communications, as well as in the technology framework and the capacity-building framework. As such, capacity building and technical support on gender issues, should be provided at regional and national meetings and trainings in particular on the preparation, revision and implementation of NDCs, NAPs and national communications. So as to better focus support, Parties should be requested to Inform of gender-responsive priorities and needs to capacity building programmes under the UNFCCC

Work should be advanced on mainstreaming gender considerations in the preparation and implementation of NDCs so as to enable gender responsiveness for climate change. The Decision by COP 22 should therefore include an invitation to Parties that have included gender issues in their INDCs to share their experiences and lessons learned and to ensure that the implementation of NDCs under the Paris Agreement in general is gender-responsive. As such, it is important that the mainstreaming of gender considerations in the policies that are prioritized under the NDCs are upheld and prioritized in their implementation processes.

In this context, Parties, Observers and other international organizations may be invited to provide technical and financial support to the Secretariat, including strengthening the understanding of and capacity on gender terminology and gender-responsive policy for coherence and implementation across all processes and frameworks.

Also, the UNFCCC should request the IPCC to strengthen inclusion of gender and climate change experts into the panel and to improve its consideration of studies and data sets on the gender dimension of climate change adaptation and mitigation.

The decision should also reiterate the need to follow gender responsiveness to climate finance entities. As such, it should reiterate and stress the mandate given to the GEF and GCF and all other operating entities of the financial mechanism to be aware of and implement their gender-responsive guidelines and that from now on they promote grassroots work on gender and climate change in the implementation of the Paris Agreement.

As such, the decision should request the financial mechanism and its operating entities to specifically address and highlight gender-responsive policy and project/programme

implementation in their annual reporting to the COP and work with recipient countries in readiness and technical support to increase national climate-and-gender capacity.

(iii) *Regarding the improvement of gender balance and strengthening participation in negotiations and policy formulation:*

A decision by COP 22 should recognize that additional efforts need to be made by Parties to improve the participation of women in their delegations and in all of the bodies established under the Convention, as stipulated in decisions 36/CP.7 and 23/CP.18. Parties should therefore be invited to improve gender balance in their delegations.

It may also include a recommendation for the UNFCCC Secretariat to continue to include in their participation statistics as part of the Lists of Participants, indicators to assess progress and trends regarding gender balance, as well as overall analysis of gender balance in UNFCCC constituted bodies. For this purpose, it is suggested that the Secretariat requests Parties to indicate as part of the accreditation process whether participants are men or female, to enhance gender statistics.

Further to this, and in an effort to advance gender balance in the more substantive work under the Convention, the decision can also request the UNFCCC Secretariat to have their technical experts to systematically seek inputs from the women and gender constituency, interested UN entities and related organizations when they are requested to prepare technical papers, and reports.

Final Considerations

Gender consideration is a development issue and should be addressed in the context of enhanced action under the Convention and the Paris Agreement as an opportunity to ensure that climate action is consistent with full respect to human rights. The enhancement of gender mainstreaming and gender equality should also be advanced so as to improve coherence between gender related actions across the UNFCCC, CBD and UNCCD in order to have a coherent approach to this issue. AILAC is encouraged by the discussions held at the 44th Session of the SBI and looks forward to continue this exchange at COP 22 in Marrakech in order to advance the agenda on gender and climate change.

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Submission on the Modalities for the accounting of financial resources provided and mobilized through public interventions in accordance with Article 9, paragraph 7, of the Paris Agreement

29th of August 2016

1. The successful implementation of the Paris Agreement depends upon several factors, including the adequate provision and mobilization of the means of implementation, in particular, from developed to developing countries and particularly vulnerable countries. Therefore, enhanced transparency is crucial to better understand the progress towards the achievement of our long-term goals.
2. Despite the global effort on providing financial support for climate change adaptation and mitigation actions, there's a fundamental restraint that affects the accounting and reporting of this support, which is the absence of a common definition of climate finance under the UNFCCC.
3. For AILAC countries, it is very important that all efforts towards the accounting of financial resources provided and mobilized through public interventions would not only serve for the compliance of developed countries' obligations, but mainly to attend the needs and priorities of developing country parties and particularly vulnerable countries.
4. For this purpose, developed countries should provide clear and accurate information of the financial support ear-marked to developing countries, helping the latter to enhance the provision of information on their needs and resources received.
5. The Paris Agreement acknowledges the need to improve the clarity, quality, consistency and transparency on the support provided and received. Hence, the development of the modalities for the accounting of financial resources provided and mobilized through public interventions creates an opportunity to address a long-standing issue under the Convention.
6. This submission expresses the views of AILAC countries on how to address this relevant matter so that Parties can have better monitoring tools towards the accomplishment of the goals set forth and the development of the modalities in a timely manner to contribute to the enhanced transparency framework.

Mandate

7. In accordance with paragraph 57 of decision 1/CP.21, and building upon previous experiences under and outside the Convention, the modalities for the accounting of financial resources provided and mobilized through public interventions should aim to contribute to the enhancement of the transparency framework set out in the Paris Agreement and the accountability of Parties in its implementation.
8. In addition, this information provided by developed countries should serve as an input to developing countries in order to report the financial support framed in paragraph 10 of article 13 of the Paris Agreement.
9. The development of methodologies for accounting should consider the coherence between Article 9 on finance and Article 13 on transparency of the Paris Agreement so that duplication of efforts and costs is avoided and to ensure the standardization of methodologies.

Context of the work ahead

Existing modalities

10. There has been relevant work under the UNFCCC to address the matter of monitoring, reporting and verifying (*MRV-ing*) actions and support. However, the experiences regarding tracking and reporting of climate finance have faced several political and technical difficulties, among them, definitional issues, the quality and availability of data, the lack of comparability of data due to the use of different methodologies to gather it, as well as the complexity of the linkages of climate finance flows with other types of financial flows such as the Official Development Assistance and the attribution in the mobilization of private climate flows.
11. Under the Convention, developed countries have the obligation to report climate finance provided and mobilized in order to increase the transparency of support. For this purpose, there are three vehicles to communicate financial information: the National Communications (NatComs), and Biennial Reports (BRs) both with a backward looking approach, and the Strategies and Approaches for Scaling-up Climate Finance with a forward looking pursuit. Nonetheless, the analysis conducted on the first round of the BRs on climate finance suggests that there have been inconsistencies in how the UNFCCC guidelines have been used so far, which is a reflection of the lack of agreed definitions and methodologies.

12. Additionally, in accordance with the mandate given to the Standing Committee on Finance (SCF) to assist the Conference of the Parties (COP) in the exercise of its functions with respect to the Financial Mechanism of the Convention, the COP requested the SCF to prepare a Biennial Assessment and Overview of Climate Finance Flows (BA)¹. In conducting the BA, operational definitions and reporting systems used by institutions that collect climate finance data were reviewed. In doing so, the report encountered challenges in collecting, aggregating and analysing information from diverse sources. For example, the diversity of definitions of climate finance and the different systems and methodologies used for reporting.
13. Other institutions have also undertaken efforts related to this matter. Particularly visible was the work done by the Organization for Economic Cooperation and Development (OECD) and Climate Policy Initiative (CPI) report on the "*Climate Finance in 2013-14 and the USD 100 billion goal*"². This exercise was framed in the run-up to COP21 in Paris and the recommendation of the SCF in its BA 2014 to continue the efforts to improve climate finance measuring, tracking and reporting. The report acknowledges the need to continue to harmonize accounting methodologies and standardize reporting, as well as the need to work on the definitional issues.

Challenges to the development of the modalities requested by decision 1/CP.21

14. The barriers and gaps already identified in several reports have to be addressed to deliver a robust common reporting system that will produce frequent, comparable, standardised and quantified information that will be useful to enhance mitigation and adaptation actions from all Parties. The information provided to date by developed Parties under the Convention has been constantly improving but it is still insufficient and inadequate for the purpose of enhancing the clarity on the levels of financial resources provided and mobilized and improving the confidence among Parties.

Some barriers and gaps identified are:

- a. The estimates on global total climate finance in the BA2014 ranges from 340 to 650 billion USD per year and the flows from developed to developing countries range from 40 to 175 billion USD per year. The range between the lower and higher figures bears great uncertainty due to the fact that there is a lack of a common definition that determines what constitutes climate finance;
- b. The inadequate quality of data, its availability and coverage;
- c. The diversity of underlying assumptions in the characterization of what constitutes climate finance, also known as definitional issues;
- d. The multiplicity of reporting approaches;
- e. The variety of sources, channels, instruments and intermediaries used to allocate and deliver resources;

¹ 2014 Biennial Assessment and Overview of Climate Finance Flows Report. SCF. Available at: http://unfccc.int/cooperation_and_support/financial_mechanism/standing_committee/items/8034.php

² Climate Finance in 2013-14 and the USD 100 billion goal. Report by the OECD and CPI.

- f. The difficulty to estimate transaction and administrative costs in the face of what is really invested to address the needs and priorities of developing countries;
- g. The lack of adequate methodologies to quantify the results of climate policy and the broader domestic enabling environments on mobilizing private finance;
- h. The scope of what constitutes mobilized private climate finance.

AILAC's proposal on the way forward

15. AILAC is of the view that it is pivotal that the modalities, procedures and guidelines developed in accordance with Article 9.7 of the Paris Agreement are closely articulated with the work related to the transparency framework for action and support mandated by paragraphs 91 to 98 of decision 1/CP.21, to be developed by the APA in accordance with the provisions of Article 13 of the Paris Agreement. This will allow for a comprehensive transparency framework, which includes complete, transparent, comparable and accurate information that can serve as an adequate basis for conducting proper analyses and assessments on the progress towards the long-term goals that Parties have set regarding mitigation and adaptation actions as well as the provision of the means of implementation, including climate finance.
16. The development of the modalities for the accounting of financial resources provided and mobilized through public interventions should take into account relevant recommendations included in the BA 2014 as a basis for the work ahead, in particular:
 - a. To agree on a common definition of climate finance;
 - b. To continue working towards the development of methodologies that will enable better measurement, reporting and verification of climate finance flows;
 - c. To determine common approaches by International Development Banks (IDBs) and other relevant international institutions, such as the International Financial Institutions, based on the gaps already identified in their frameworks and building upon their previous experiences;
 - d. To increase clarity on which delivery channels and financial instruments are going to be taken into account by clearly determining the scope for the accounting methodologies.
17. In addition, some important lessons emerged from exercises conducted by other relevant institutions that have done work related to this matter. For example, that there is emerging convergence towards common and transparent definitions, methodologies and reporting approaches; there is improvement in transparency and accountability in reporting on climate finance; and that there is progress on multiple fronts in a coordinated manner.

18. These improved modalities, procedures and guidelines to be developed in accordance with article 9.7 of the Paris Agreement must have the following purposes:

- a. Define a transparent accounting system which provides a clear and consistent picture of specific financial resources dedicated for climate adaptation, mitigation, development and transfer of technology, capacity building, transparency framework and other cross-cutting activities; according to developing countries needs and priorities;
- b. Set forth clear and harmonized definitions on climate finance³ provided and mobilized through public interventions in order to facilitate aggregation and tracking of progress at the global level;
- c. Define the basis of measurement: funds committed and/or disbursed;
- d. Prevent and solve double counting of financial resources provided and mobilized through public interventions;
- e. Facilitate the understanding of causal links between the public interventions and the private financial resources mobilized through them, and determine an appropriate methodology for accounting private finance mobilized that reflects appropriately and proportionately those causal links;
- f. Establish in an accurate and balanced manner the contributions of providers through multilateral development banks and other multilateral funds as well as other disbursements through the channels of international cooperation;
- g. Facilitate a better understanding of where and how climate finance is being invested, in order to assess its actual contribution to mitigation and adaptation, development and transfer of technology, capacity building, transparency framework and other cross-cutting activities; according to developing countries needs and priorities.

19. Every effort should be done to ensure that the modalities are agreed by the end of 2017 in order to contribute to the enhanced transparency framework of the Paris Agreement.

³ The definition of "climate finance" should clarify qualifying terms included in the Paris Agreement, inter alia: provided and mobilized, predictable and adequate.

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Submission on the Technology Framework

September 2016

A. Introduction

1. The Paris Agreement, in its Article 10, acknowledges the importance and relevance of the development and transfer of technology and urges developed countries to strengthen their cooperation with developing countries in this matter. Article 10.4 establishes the technology framework 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 Article 10.1.

B. Mandate

2. Decision 1/CP.21, paragraph 67, requested, in accordance with Article 10.4, that the Subsidiary Body for Scientific and Technological Advice initiate at its 44th session (May 2016) the elaboration of the technology framework, with a view to report on its findings to the Conference of the Parties.

C. Purpose of the submission

3. This submission of AILAC will focus on the proposed objective, characteristics and key areas of work of the technology framework. This proposal has been developed bearing in mind the objective of accelerating and making more effective the innovation that will enable economic growth and sustainable development, while strengthening the cooperation for the development and transfer of scalable and replicable technology, respecting human rights and promoting gender equality and intercultural exchange.

D. Areas of work of the technology framework

4. AILAC is of the view that in developing the technology framework we should take as a starting point the four areas identified in paragraph 67 of decision 1/CP.21:
 - (a) The undertaking and updating of technology needs assessments, as well as the enhanced implementation of their results, particularly technology action plans and project ideas, through the preparation of bankable projects;
 - (b) The provision of enhanced financial and technical support for the implementation of the results of the technology needs assessments;

(c) The assessment of technologies that are ready for transfer;

(d) The enhancement of enabling environments to the development and transfer of socially and environmentally sound technologies.

5. In addition, other areas of work to be included are:

- Fostering and triggering innovation, through new collaborative approaches for research and development, as well as for demonstration, promotion and deployment of new technologies;
- The promotion of inventories and databases of local, national and regional technologies that enable the sharing of best practices and experiences among developing countries (south-south cooperation) and from developing to developed countries;
- The promotion of relevant technologies for adaptation, taking into account the vulnerability analysis and assessments, as well as other relevant experiences;
- The most effective use of National Designated Entities for the CTCN activities and to create synergies with other UNFCCC focal points in order to trigger better national/local coordination;
- The engagement of all relevant stakeholders such as academia, research centres, private sector, civil society, and indigenous peoples in the decision-making process related to the development and transfer of technology that is environmentally sound;
- The enhancement of technology transfer and innovation through the financial mechanism;
- The improvement of well-timed technology transfer in line with the needs of developing countries;
- The enhancement of capacities for domestic technology development in developing countries;
- The strategic linkage between innovation for climate change and economic growth and sustainable development.

E. Considerations

6. In enhancing the technology mechanism and providing overarching guidance, the technology framework must consider:

- Ways to improve the coordination among relevant bodies under the Convention in order to create synergies and avoid duplicated work;
- Options to better balance the development and transfer of technologies for mitigation and adaptation;
- Experiences and lessons learned in relation to the implementation of Article 4.5 of the Convention and decisions 4/CP.7, 3/CP.13 and 4/CP.13;
- The work already undertaken by the Technology Executive Committee and the Climate Technology Centre and Network and how to further improve it;
- Options to link current and future technology needs with the implementation of NDCs;

- To link the TNA process to national sustainable development plans;
- To link more effectively the work and progress of the three components of the means of implementation;
- Ways to harness indigenous knowledge and enhance endogenous capacities;
- Other relevant work done under and outside the Convention.

F. Concluding remarks

7. In elaborating the technology framework, Parties should consider the progress achieved so far in the activities related to the development and transfer of technology while taking into account the challenges ahead of us for the implementation of the Paris Agreement such as the need to accelerate the pace of deployment of new technologies and the importance of developing endogenous technologies. The technology framework must add value through high-level guidance to the existing institutions and promote a strategic approach for the compliance of the Paris Agreement, with a long-term vision, be dynamic and innovative, as well as support the implementation of NDCs.

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SBSTA Agenda Item 6 (b): Advice on how the IPCC can inform
the Global Stocktake referred to in Article 14 of the Paris
Agreement

INTRODUCTION - BACKGROUND CONTEXT

1. Article 14, paragraph 1, of the Paris Agreement, requires the CMA to periodically take stock of the implementation of the Paris Agreement to assess collective progress towards achieving its purpose and its long-term goals, 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. The CMA is to undertake the first global stocktake in 2023 and subsequent global stocktakes every five years thereafter unless otherwise decided by the CMA.
2. Following the first session of the APA in May 2016, Parties were invited to submit their views on *the identification of the sources of input for the global stocktake; and the development of the modalities of the global stocktake, noting the work under the Subsidiary Body for Scientific and Technological Advice on advice on how the assessments of the Intergovernmental Panel on Climate Change can inform the global stocktake.*
3. Further to this, the SBSTA has also issued a call for submissions on *views on advice on how the assessments of the IPCC can inform the global stocktake, bearing in mind the time frame of the sixth IPCC assessment cycle.*

THE GLOBAL STOCKTAKE PROCESS AND ASSESSMENTS OF THE IPCC

4. AILAC envisages the Global Stocktake (GST) to be a process occurring every five years rather than a single moment. Conceptualizing the Global Stocktake as a process composed of different stages will enable the integration of both its technical and political dimensions. The outcome of the Global Stocktake should enable a general understanding of the global state of play in all areas of climate action and generate momentum to inform the update and the progression of ambition of Parties climate action and contributions.

5. Considering this understanding, the definition and construction of the inputs that are to feed into this Global Stocktake process are critical for it to provide a clear understanding of the collective progress towards the purpose of the Paris Agreement and its long term goals.
6. AILAC will elaborate further on the issue of the specific inputs for the Global Stocktake in its submission under APA Agenda Item 6. In that context, reference is made to specific areas and modalities by which the Group considers the IPCC could provide information to support the collective assessment of progress towards the long term goals on each of the three main elements of climate action. For AILAC, the IPCC bears strong scientific legitimacy in the context of the work of the Convention and the aggregate understanding of the global trends with regards to climate change mitigation and adaptation.
7. Building on this extensive experience and bearing in mind the benchmarks established under Article 2 of the Paris Agreement as well as the long term goals under Article 4 paragraph 1 and Article 7 paragraph 1 and the guidance included in Article 7 paragraph 14, **AILAC foresees that the IPCC should be requested to include the periodical preparation of special reports to serve as input on the year that the GST it is to take place. This should be done in a timely manner that is consistent with the timings of the GST.**
8. AILAC deems that a request for special and focused reports that serve as one of the inputs for the Global Stocktake is the most appropriate approach, since it has the advantage that the report could be prepared in a more flexible and independent manner by the IPCC. This is especially important because the GST has a fixed periodicity but it cannot be ensured that the IPCC ARs fit this schedule. For example AR5 was released in 2013/2014 and AR6 is expected to be released in 2020/2021 (synthesis report in 2022).
9. Nonetheless, the best available science in the form of the latest Assessment Reports of the IPCC should clearly form part of the inputs to the GST, noting that a summary of information derived from the ARs could be provided in an ad-hoc manner as an input to the GST.
10. These reports, should be brought for consideration among Parties at the CMA, to arrive at the conclusions and recommendations that will constitute the Global Stocktake for a particular year.
11. All of the technical inputs and conclusions, will be forwarded to an Ad - Hoc Open Ended Working Group on the Global Stocktake (AWG GST)¹ for consideration, so as to produce conclusions on the collective progress with regards to the long term goals, including specific guidance on the

¹ AILAC elaborates in detail on its proposed sources of information and arrangements for the Global Stocktake in its Submission on inputs and modalities under APA Agenda item 6. These submissions should therefore be considered conjointly.

necessary actions to raise the level of ambition so as to inform the preparation of subsequent contributions. Such conclusions will be ultimately forwarded to the CMA in the form of a decision to be adopted as the Global Stocktake for that specific year.

HOW TO ARTICULATE THE IPCC PROCESSES AND INPUTS WITH THE GLOBAL STOCKTAKE

12. Building on the approach suggested above, AILAC considers that the following tasks could be undertaken by the IPCC in the context of its Assessment Cycles so as to inform the Global Stocktake:
 - Mitigation Dimension of the GST:
13. AILAC considers that to assess collective progress towards the agreed temperature targets as well as the other benchmarks of the long term goal on mitigation, the COP/CMA can request the IPCC to periodically produce an ad – hoc/ special report, to serve as input for the Global Stocktake process.
14. Such a report should cover specifically:
 - (i) Progress towards the long term temperature goal.
 - (ii) Assessment of peaking trends, both proposed and implemented, in accordance with NDCs.
 - (iii) Progress towards balance between emissions and removals and projections, towards the achievement of net zero by the end of the century.
15. The report should include a summary for policy makers with conclusions and recommendations that reflect an assessment of the status and trends with regards to the three variables related to the long term mitigation targets, as well as recommendations on the mitigation ambition required to meet these targets.
16. The report would be forwarded with other technical inputs, including those deriving from the consideration of the information derived from the enhanced transparency framework to the Ad Hoc Open Ended Working Group on the Global Stocktake that would meet in conjunction with the Subsidiary Bodies and the CMA at the year of the Global Stocktake and consider the report and its findings.

17. It is important to note that the IPCC will use the sources of information derived from the enhanced transparency framework² as a basis for elaborating a clear overview of status and trends with regards to the mitigation long term goal's three benchmark variables. Thus, it will be necessary that this information is made accessible to the IPCC in order to reduce uncertainty in the aggregation of data. Furthermore the IPCC should use information contained in national communications and independent scientific data to underpin its analysis of progress and status of the benchmark variables.
18. Considering the above, the IPCC special report on collective progress towards the long term goals on mitigation established in the Paris Agreement should be available at least 6 months prior to the beginning of the relevant procedures of the GST.
19. Special considerations are needed for the first report and first GST, since potentially few outputs from the enhanced transparency framework will be available for the preparation of the report by the IPCC. For instance, in this case the IPCC should also consider information provided by Parties in their BR and BURs.

Adaptation Dimension of the GST:

20. The manner in which the IPCC can inform the adaptation dimension of the GST should build on the approach undertaken in Decision 1/CP.21 to request a special report on the impacts of global warming of 1.5°C above pre-industrial levels and related global greenhouse gas emission pathways, as well as the Special Report prepared during the fifth Assessment Cycle on Climate Change Impacts, Adaptation and Vulnerability.
21. AILAC considers that the COP/CMA, as part of the Inputs to the Global Stocktake process should request the IPCC to prepare a periodic ad – hoc/special report on these issues to serve as input to assess progress towards an adequate adaptation response in the context of the temperature goal referred to in Article 2 of the Paris Agreement. Such a report, should include a summary for policy makers and conclusions to be forwarded to the Ad Hoc Open Ended Working Group on the Global Stocktake for consideration.
22. The report should include a correlated gap assessment of adaptation demands in light of existing mitigation trajectories, which in turn should be captured as a concrete part of the GST Outcome at the CMA where it is to take place.

² AILAC further elaborates on the sources of information that derive from the enhanced transparency framework in its submission on inputs and modalities for the Global Stocktake under APA Agenda Item 6. Further reference on AILAC's view on that matter can be found to that document.

23. Such an element should be accompanied by a concrete call/guidance to the MOI mechanisms to deliver the necessary support for such adaptation action in light of the findings regarding the mitigation trajectories.
24. It is important to bear in mind that this assessment refers only to part of the Benchmarks and aspects that the Global Stocktake should consider with regards to adaptation in accordance to Article 7 paragraph 14 of the Paris Agreement. Just as it is the case for mitigation, other inputs should also be prepared and considered in light of other assessment benchmarks established with regards to the long term goal on adaptation and the parameters set out under Article 7 paragraph 14.
25. Additionally, AILAC considers that as scientific knowledge improve and a better understanding is achieved on the expected impacts of climate change in terms of adaptation and vulnerability. These issues should be dealt with as regular components of the Assessment Reports prepared by the IPCC.
 - MOI Dimension of the GST:
26. AR5 was the first to include a specific chapter dedicated to climate finance. The IPCC should strengthen this work, with an aim to answer the question whether “finance flows [are] consistent with a pathway towards low GHG and climate resilient development”.
27. AILAC considers that such work should be undertaken in a manner that provides specific guidance to the financial, technological and capacity building mechanisms under the Convention and the Paris Agreement to better allocate means of implementation towards the achievement of the objective of the Convention, the Agreement and its long- term goals with regards to mitigation and adaptation action. The group emphasizes that this work shall not go in detriment of the primarily scientific work that is undertaken by the IPCC but more so as a guidance on the MOI needs for the enhancement of adaptation an mitigation action to achieve the necessary level of ambition in light of long term trajectories.

FINAL CONSIDERATIONS

28. AILAC considers that the best available science should lie at the basis of the inputs for the collective assessment of progress under the GST established under Article 14 of the Paris Agreement. As such, having the IPCC prepare the proposed special reports that are to periodically serve as input to the GST provides for the soundness of such an assessment and will enable it to be an effective source of guidance for the updating and enhancement of ambition of subsequent contributions and actions under the Agreement. In the medium term, it is expected that the Assessment Cycles and their timings as well as the Assessment Reports themselves will

be articulated to the information and contribution dynamics of the Paris Agreement, so that the science ultimately serves the purpose of enhancing ambition. AILAC looks forward to hearing back from the IPCC on ours and other Group's and Parties' proposals on how its work can better inform the GST. We will continue to engage and discuss constructively with our partners on the role of the IPCC in the context of the GST, as well as the broader discussions on the GST, in an effort to arrive at common understandings that looks to operationalize it as the core of the ambition mechanism embedded within the Paris Agreement-

SUBMISSION BY COSTA RICA ON BEHALF OF THE AILAC GROUP OF COUNTRIES COMPOSED BY CHILE, COLOMBIA, COSTA RICA, HONDURAS, GUATEMALA, PANAMA, PARAGUAY AND PERU

APA Agenda Item 6: Matters relating to the global stocktake referred to in Article 14 of the Paris Agreement

INTRODUCTION - BACKGROUND CONTEXT

Article 14, paragraph 1 of the Paris Agreement, requires the CMA to periodically take stock of the implementation of the Paris Agreement to assess collective progress towards achieving its purpose and its long-term goals, 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. The CMA is to undertake the first global stocktake in 2023 and subsequent global stocktakes every five years thereafter unless otherwise decided by the CMA.

Following the first session of the APA in May 2016, Parties were invited to submit their views on *the identification of the sources of input for the global stocktake; and the development of the modalities of the global stocktake, noting the work under Subsidiary Body for Scientific and Technological Advice on advice on how the assessments of the Intergovernmental Panel on Climate Change can inform the global stocktake.*

RATIONALE ON THE GLOBAL STOCKTAKE

AILAC envisages the Global Stocktake to be a process occurring every five years rather than a single moment. Conceptualizing the Global Stocktake as a process composed of different stages will enable the integration of both its technical and political dimensions. The outcome of the Global Stocktake should enable a general understanding of the global state of play in all areas of climate action and generate the momentum to inform the update and progression of ambition of Parties' climate action and contributions.

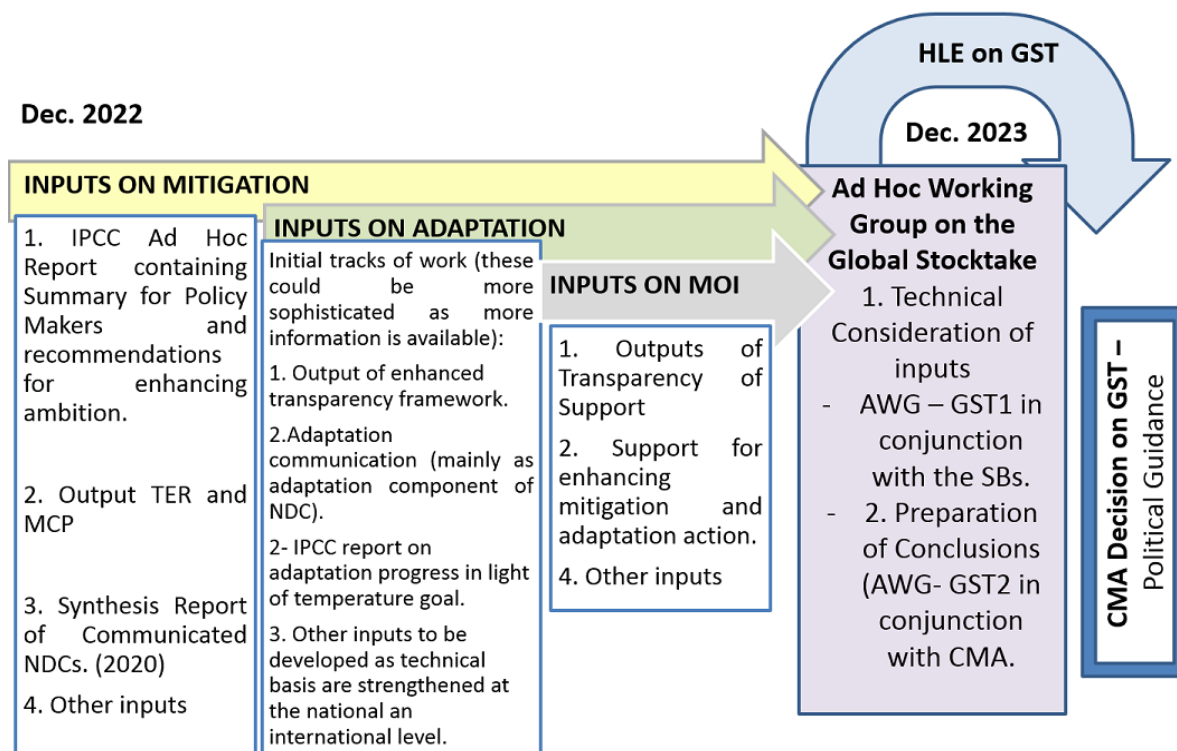
The Global Stocktake should be understood as a **political process** with a strong scientific basis, which will encompass separate, yet interlinked assessment milestones with a focus on the aggregate progress in each of the three main elements of climate action, i.e. mitigation, adaptation and means of implementation. For this purpose, several mandates need to be given, related to the preparation of inputs and for the periodical aggregation of information to serve as an input to the stocktake.

With this in mind, it is critical that the modalities for the Global Stocktake process define specifically the timeframe in which specific processes will take place every time. In AILAC's understanding the stocktake shall serve as a common moment for Parties to come together and assess the collective progress towards the long-term goals established under the Agreement. This assessment in turn will guide Parties in updating and enhancing their contributions and thus it is important that the

modalities contemplate ensuring the relevant political involvement and guidance at the highest levels.

Considering the above, the definition of Inputs and of Modalities for the Global Stocktake process are intrinsically linked, and must be tailored bearing in mind the benchmarks or targets against which collective progress is to be tracked on each of the three elements of climate action. As such, the following sections look to further elaborate on these inputs and modalities, bearing in mind the particularities of each of the elements under the scope of the Global Stocktake.

OVERVIEW OF THE GLOBAL STOCKTAKE PROCESS



The GST should be developed over the course of a year, to give enough time to prepare technical and scientific inputs and ideally also to seek inputs and share information with non-state actors.

Technical inputs would then be brought for discussion among Parties under an *Ad - Hoc Open Ended Working Group on the Global Stocktake* (AWG GST) which will meet twice on the year of the Global Stocktake. The first meeting of the AWG GST will take place in conjunction with the year's meeting of the Subsidiary Bodies with the aim to consider the technical inputs available; whereas the second meeting of the AWG GST will be held in conjunction with the year's CMA in order to produce conclusions. The CMA shall subsequently hold a High Level Event on the Global Stocktake to consider and, where appropriate, complement these conclusions.

The outcome of the GST, as a result of the works of the AWG GST and the above mentioned High Level Event should be brought forward for the consideration and endorsement of the CMA, to be captured in a decision on the stocktake of the collective progress towards the achievement of the Agreement's purpose and long-term goals, reflecting political guidance for increasing ambition and making it a landmark proceeding that enables the renewal of the political commitment of Parties. Every information considered in the course of the GST will be publically shared and available for the use by Parties and the general public through the UNFCCC web site.

IDENTIFICATION OF THE SOURCES OF INPUT AND MODALITIES FOR THE GLOBAL STOCKTAKE

MITIGATION

Benchmark to take stock of implementation and assess collective progress: Article 2.1 (a) & Article 4.1	Sources of Input and Modalities
<p>✓ Holding the increase in the global average temperature to well below 2°C and pursuing efforts to limit it to 1.5°C</p> <p>✓ Reach global peaking of GHG emissions as soon as possible</p> <p>✓ Balance between emissions by sources and removals by sinks of GHG in the second half of this century</p>	<p><u>Inputs</u></p> <p><i>AILAC considers that the primary input for the collective assessment of progress towards the global goals on mitigation set out under Article 2 and Article 4.1 of the Paris Agreement is the enhanced transparency framework¹ and the information it will generate on progress in the implementation of Nationally Determined Contributions.</i></p> <p><i>Inputs derived from the enhanced transparency framework will include:</i></p> <ul style="list-style-type: none"> (i) <i>National GHG inventories and their reports,</i> (ii) <i>Synthesis Report prepared by the Secretariat on the outputs from the technical review and the multilateral consideration of progress processes set out under Article 13.</i> (iii) <i>Summaries of GHG emissions and emissions trends of all Parties elaborated by the Secretariat biennially, on the basis of national GHG inventories and biennial communications.</i> <p><i>Additionally, the modalities of the enhanced transparency framework, need to include a mandate to the Secretariat to aggregate information and prepare inputs (ii) and (iii) above.</i></p> <p><i>Further to this, an additional input for the mitigation assessment track under the GST will be the Nationally Determined Contributions as reflected in the public registry set out for their recording, as a benchmark reference to track implementation.</i></p> <p><i>Ultimately the outputs of the GST should allow to assess whether progress in implementation of NDCs is enabling progress towards achieving the goals set out by the Paris Agreement.</i></p> <p><u>Overall effect of the nationally determined contributions</u></p> <p><i>The variable pertaining to the ambition communicated by Parties in their proposed NDCs is captured to some extent in paragraph 99 (a) (i) of Decision 1/CP.21, This element as an input to the GST but should be significantly developed so as to ensure that the modalities for the stocktake include an exercise similar to that undertaken through the synthesis report prepared by the Secretariat on the aggregate effect of the communicated INDCs</i></p>

¹ AILAC further elaborates on some of the concepts referenced in this submission regarding the enhanced transparency framework in its Submission on that item which should be considered in conjunction with this document.

	<p><i>under decisions 1/CP.19 and 1/CP.20. AILAC considers that the Secretariat should be given a mandate, so it periodically produces a synthesis report of the aggregate effect of newly communicated NDCs, seen as this mandate does not exist at present. This report should be part of the inputs to the GST and would play the role of a baseline.</i></p> <p><i>Thus, for the effects of the 2023 GST, the Secretariat would produce a report on the NDCs communicated in 2020, it would be due in 2021 and would be considered in the GST of 2023. The outputs of the 2023 GST would inform the preparation of the NDCs to be presented in 2025. The next aggregate report would be due in 2026 and considered in 2028, and so on. The timely preparation of this report will enable it to be considered by Parties under the GST and in the preparation of new NDCs for subsequent periods.</i></p> <p><u>Modalities</u></p> <p><i>AILAC believes that to assess collective progress towards the agreed temperature targets, the COP/CMA can request the IPCC to periodically produce an ad – hoc/ special report, to serve as an input for the Global Stocktake process in what regards to mitigation long-term goals.</i></p> <p><i>The IPCC should undertake this special report on the basis of inputs derived from the enhanced transparency framework, and any other scientific information that may be relevant. The IPCC would have access to country by country data but at the end the results would be presented only in an aggregate form.</i></p> <p><i>Such a report should cover specifically:</i></p> <ul style="list-style-type: none"> <i>(i) Progress towards the long term temperature goal;</i> <i>(ii) Assessment of peaking trends, both proposed and implemented, in accordance with NDCs;</i> <i>(iii) Progress towards balance between emissions and removals and projections, towards the achievement of net zero by the end of the century.</i> <p><i>The report should include a summary for policy makers with conclusions and recommendations that reflect an assessment of the status and trends with regards to the three variables related to the long term mitigation targets, as well as recommendations on the mitigation ambition required to meet these targets.</i></p> <p><i>The report would be forwarded to the Ad - Hoc Open Ended Working Group on the Global Stocktake (AWG GST) to consider its findings, together with the outputs of the enhanced transparency framework and produce conclusions on the collective progress with regards to the mitigation long term goals, including specific guidance on the necessary actions to raise the level of ambition so as to inform the preparation of the next round of NDCs.</i></p> <p><i>Such conclusions will be ultimately forwarded to the CMA in the form of a decision to be adopted as the Global Stocktake for that specific year.</i></p> <p><u>Timings</u></p> <p><i>A key variable that will underpin the effectiveness of the linkage between the enhanced transparency framework and the Global Stocktake will be the coherent articulation of the timings as one of the variables within the modalities of each. Whereas the Global Stocktake as a whole has been set out to occur every 5 years, the complexities of the</i></p>
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	<p><i>assessments that it implies make it reasonable to assume that it will be the result of a continuum of milestone assessments that lead up to the final statement of the status quo of progress under the Agreement.</i></p> <p><i>As such, the timings defined for the inputs that come from the transparency framework, must be coherent with the demands of the timings of the Global Stocktake. The reporting obligation under the enhanced transparency framework is continuous (no less frequently than on a biennial basis). All the reports that are prepared by Parties should thus serve as an input to the GST. Coherence in timing is required when it comes to the technical expert review and the facilitative multilateral consideration of progress (FMCP). When the FMCP takes place needs to be considered in light of the GST.</i></p>
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ADAPTATION

OVERARCHING CONSIDERATIONS

AILAC is of the view that adaptation is an essential part of the ambition mechanism of the Paris Agreement. However, with regards to adaptation, the Global Stocktake will be a work in progress, given that there is less experience in terms of follow up, metrics and internationally accepted parameters for aggregate assessment.

Considering that the outcomes of the Global Stocktake (GST) entails that Parties will periodically revisit their contributions and, regardless of the vehicle for the adaptation communication, Parties will have an opportunity to assess their adaptation priorities as well as their support for adaptation and the needs identified, so as to increase these efforts in the light of the Global Goal on Adaptation and Art. 2 paragraph 1 sub paragraph (b).

So as to fulfil the ultimate purpose of the GST of informing the update of commitments and enhancing Parties' actions and support for adaptation, the manner in which the adaptation communication is understood and constructed by Parties is critical. The adaptation communication must be as clear as possible allowing for an appropriate identification of Parties' adaptation priorities, plans and support needs. AILAC has submitted a separate yet complimentary submission that elaborates on this matter under item 4 of the APA Agenda.

In the definition of inputs and modalities regarding adaptation in the context of the global stocktake, the group has considered how the formulation of priorities and needs will ultimately allow Parties to enhance adaptation actions, by means of providing specific guidance including to the different means of implementation mechanisms under the Convention, other forms of enhancing support and the Paris Agreement.

It is very important that the inputs and modalities presented below be understood as initial standpoint and that these may be sophisticated over time. As science evolves and capacities increase in countries there will be further inputs and modalities that may be considered to improve the global stocktake and ensure that the provisions under Article 7 paragraph 14 are fulfilled comprehensively.

Guidance on adaptation under the Global stocktake (Art. 7.14)	Initial Sources of Input and Initial Modalities
(a) Recognize adaptation efforts of developing country Parties (b) Enhance the implementation of	<p><u>Initial inputs</u></p> <p><i>So as to recognize the adaptation efforts of developing countries, the reporting instruments under the Enhanced Transparency Framework, whose main input initially would be the National Communication, will provide the main output that will feed into the dimension of the Global Stocktake relating to the adaptation action that has already been implemented by developing countries.</i></p>

<p>adaptation action taking into account the adaptation communication referred to in paragraph 10 of this Article</p>	<p>Further to this, bearing in mind the need for the adaptation outcome of the Global Stocktake to <u>enhance the implementation</u> of adaptation action, the adaptation communication is the enabling input for the global stocktake process to provide guidance on how to catalyse further adaptation action based on the nationally determined needs, priorities, and plans submitted (in adaptation communication) by the parties in light of mitigation trajectories.</p>
<p>(c) Review the adequacy and effectiveness of adaptation (...)</p>	<p><i>In light of providing an adequacy assessment of adaptation action in a manner that relates to the effectively implemented global emission pathways or mitigation trajectories, an additional input to the adaptation track under the Global Stocktake process would be the input that the IPCC can provide on the impacts and vulnerability in light of the global emission pathways. This input can provide insight into progress towards an adequate adaptation response in the context of the temperature goal referred to in Article 2 of the Paris Agreement.</i></p>
<p>(d) Review the overall progress made in achieving the global goal on adaptation referred to in Article 7 paragraph 1</p>	<p><i>As such, as part of the Inputs to the Global Stocktake process the COP/CMA should request the IPCC to prepare a periodic ad – hoc/special report on these issues. Such a report, should include a summary for policy makers and conclusions.</i></p>
	<p><i>Finally, for AILAC the primary input for the collective assessment of progress towards the global goal on adaptation set out under Article 2 and Article 7.1 of the Paris Agreement (Art. 7.14 (c) and (d)) is also the Enhanced Transparency Framework and the information it generates on progress of the implementation of the adaptation communication as a component of the Nationally Determined Contributions or any other vehicle used to submit it, in accordance with Article 7 paragraph 11 of the Paris Agreement.</i></p>
	<p><u>Initial modalities</u></p>
	<p><i>Bearing in mind that the Adaptation Committee is currently developing modalities for the recognition of adaptation efforts of developing countries in accordance to Paragraph 41 of Decision 1/CP.21, AILAC considers that such a recognition of the adaptation action that has been implemented or that is currently being undertaken could be part of the political outcome to be produced by the high level event that is to take place in conjunction with the Global Stocktake every 5 years. As such, at the year of culmination of the GST (i.e. 2023 for the first Global Stocktake) there could be a concrete outcome that captures and fulfils the mandate of Article 7 paragraph 14, subparagraph (a) regarding the recognition of adaptation efforts of developing countries.</i></p>
	<p><i>As to the modalities of the GST aiming at enhancing adaptation action, building on the adaptation communication as the primary input, these could include:</i></p>
	<ul style="list-style-type: none"> <i>(i) Preparation of a synthesis report by the Secretariat that reflects the priorities, needs and plans that have been communicated through the adaptation communication aimed at enhancing adaptation action.</i> <i>(ii) Collective analysis of the adaptation communication submitted by Parties by the Adaptation Committee and the Secretariat which can build on the Synthesis report prepared by the Secretariat, and which shall aim at</i>

	<p><i>identifying trends and opportunities of priorities and needs submitted to enhance implementation of adaptation actions.</i></p> <p><i>(iii) The Adaptation Committee could also, produce concrete recommendations towards this end, including specific guidance to the financial mechanism (which ultimately should influence priorities funded), technology mechanism, and capacity building frameworks.</i></p> <p><i>(iv) Recommendations to be forwarded to the Ad -Hoc Open Ended Working Group on the Global Stocktake, together with the report to be produced by the IPCC as well as other inputs that are to be further developed as technical basis on adaptation are strengthened, to produce conclusions that are to be forwarded to the High Level Event on the Global Stocktake and subsequently to the CMA for endorsement and instruction to the relevant bodies under the Convention and the Paris Agreement.</i></p> <p><i>(v) Further to this, at the High level Event there should be a space where initiatives can be strengthened and launched aimed at matching the needs and priorities identified in the adaptation communications to enhance implementation of adaptation action in various countries.</i></p>
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MEANS OF IMPLEMENTATION

OVERARCHING CONSIDERATION

For AILAC, it is important to highlight that the consideration of Means of Implementation in the context of the Global Stocktake, shall aim at articulating the provision of these– finance, technology and capacity building – towards implementation of NDCs, fulfilling the needs of developing countries and continuously increasing ambition on both mitigation and adaptation action. This means that the dimension of the Global Stocktake that looks at means of implementation is not a mere accounting exercise, but rather an assessment that looks to enhance the adequacy and effectiveness of support, under the terms of the Paris Agreement.

As such, the benchmark against which collective progress will be assessed in accordance with Article 2.1 (c) addresses a transformational goal, of a functional nature, related to both mitigation and adaptation action on behalf of developing countries, as opposed to a concrete target to be reached.

Despite the fact that there are no benchmarks to assess progress in the mobilization and provision of means of implementation regarding technology and capacity building, AILAC considers that it is worth to engage in further discussions on these issues seen as they are critical aspects of the balance achieved in the Paris Agreement been enablers for the enhancement of ambition in both mitigation and adaptation action, and the achievement of the collective long term goals.

Means of Implementation	Sources of Input and Modalities
(Finance) Benchmark to take stock of implementation and assess collective progress : Article 2.1 (c) ✓ Making finance flows consistent with a pathway towards low greenhouse gas emissions and climate resilient	<u>Inputs</u> <p><i>AILAC considers that the GST track that looks at the issue of means of implementation, should consider the reports provided by Parties and the information that is contained in their NDCs where these identify needs for support, as an important reference source to assess adequacy towards enhancing adaptation and mitigation action. In this regard there are two aspects to be considered in the information on Mol. On the one side the information on support mobilized and provided, communicated by developed country Parties and on the other hand the information of needed and received support, communicated by developing country Parties.</i></p> <p><i>As such, specific inputs for this assessment track under the GST should include outputs from the enhanced framework for transparency of support including:</i></p> <ul style="list-style-type: none"> - <i>Information on financial, technology transfer and capacity building support provided to developing countries by developed countries and other Parties that provide support, bearing in mind that capacities for reporting on support provided by developing countries have to be strengthened.</i> - <i>Information on financial, technology transfer and capacity building support needed and received by developing countries.</i>

<p>development</p>	<p><i>It is worth noting that since the GST has a collective approach, there is a need to have modalities that allow for the inputs from the transparency framework on support to be aggregated.</i></p> <p><i>In terms of adequacy, the GST should therefore assess the manner in which finance flows are enabling enhanced action on mitigation by looking at the information on the costs of conditional component of NDCs communicated by Parties, bearing in mind that the modalities under the transparency framework in accordance with Article 13 paragraph 10 are an enabler for developing country Parties to provide this information. Together with this, the GST should look at information on support provided to implement conditional component of NDCs.</i></p> <p><i>In a similar manner, so as to assess the manner in which such flows are enabling enhanced action on adaptation, in accordance to Article 7 paragraph 14 (c) which establishes that the GST shall “review the adequacy and effectiveness of adaptation and support provided for adaptation”, the GST should look at information on the costs of priorities and needs identified in the adaptation communication, NAP, NDC (or other vehicles used by Parties) in accordance with Article 7 paragraphs 10 and 11 of the Paris Agreement. To this end, information derived from developing country reports on use of funds received for specific goals and needs set out by the Parties in any of the relevant vehicles for the adaptation communication (NDC, NAP or National Communication), are also a useful input towards the assessment of adequacy of support to enhance adaptation action.</i></p> <p><u>Modalities</u></p> <p><i>Based on the above mentioned information, the Standing Committee on Finance (SCF) should prepare a periodic report for the purposes of the Global Stocktake to provide insight on the manner in which financial flows are delivering the necessary support to enhance adaptation and mitigation action in accordance with the needs identified by the Parties themselves. Such a report would be forwarded to the AWG GST to consider its findings, together with the outputs of the enhanced transparency framework and produce conclusions and guidance on further mobilization of means of implementation so as to raise the level of ambition, mobilization and provision of support.</i></p>
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SUBMISSION BY COSTA RICA ON BEHALF OF THE AILAC GROUP OF COUNTRIES COMPOSED BY CHILE, COLOMBIA, COSTA RICA, HONDURAS, GUATEMALA, PANAMA, PARAGUAY AND PERU

30th of September 2016

Subject: Item 4 further guidance in relation to the adaptation communication, including, inter alia, as a component of nationally determined contributions, referred to in Article 7, paragraphs 10 and 11, of the Paris Agreement.

Reference: FCCC/APA/2016/L.1.

1. AILAC welcomes the opportunity to submit its views on item 4 of the APA agenda on further guidance in relation to the adaptation communication, including, inter alia, as a component of nationally determined contributions, referred to in Article 7, paragraphs 10 and 11, of the Paris Agreement.
2. This submission is structured in three sections: the first is an introduction in which the objective and other relevant considerations of the adaptation communication are presented, following with the proposal of guidance for the adaptation communication and finally, the latter sections include the follow up of the adaptation communication and concluding remarks.

I. Objective and other considerations of the adaptation communication

3. **The objective of the adaptation communication** is to catalyse action by communicating clearly and effectively national priorities, needs and plans. The guidance of the adaptation communication should make the adaptation communication a useful tool for Parties to identify and communicate priorities and needs that will allow for more efficient support to enhance adaptation action.
 - a. AILAC recalls the role that the adaptation communication should play in enhancing the implementation of adaptation action, in accordance to Article 7 paragraph 14 of the Paris Agreement, and that the adaptation communication would ultimately assist in achieving the global goal of adaptation (Article 7 paragraph 1) and the purpose of the Agreement (Article 2 paragraph 1(b)).
 - b. In this sense, the adaptation communication should be a tool to:
 - i. Facilitate understanding of synergies in priorities and needs that have been submitted as potential opportunities that facilitate enhancing adaptation action and related issues (i.e. research, development and investment).
 - ii. Facilitate cooperation, collaboration and support needed for adaptation actions.
 - iii. Promote multi-sectorial, local and national political processes that help define nationally determined adaptation actions, priorities, needs and plans (to be submitted in the adaptation communication) and that could also facilitate progress of national adaptation planning processes.
4. **Relevance of the guidance of the adaptation communication:** Article 7 paragraph 10 of the Paris Agreement provides basic guidance for the adaptation communication, indicating that Parties can communicate and update periodically their adaptation priorities, needs, plans and actions.
5. The lack of guidance for the adaptation component of the intended Nationally Determined Contributions that was provided (refer to decision 1/CP.20) made analysis or aggregate understanding difficult. Further guidance to ensure that the information to be submitted by Parties via the adaptation communication would facilitate understanding and aggregated assessments to make a meaningful understanding of progress and to promote enhanced adaptation action.
6. Furthermore, Article 7 paragraph 11 of the Agreement indicates that the adaptation communication can be submitted through a variety of already existing documents. This flexibility is critical for Parties; however, the variety of communication instruments should not hinder clarity nor national and international follow up. The guidance that Parties agree to for the adaptation communication should

be applicable regardless of which document the Party chooses to submit its adaptation communication.

7. With further guidance, the adaptation communication could foster clear submission of Parties' adaptation priorities, needs (technology, finance and capacity-building needs) and plans which could facilitate Parties linking support to needed implementation and enhancement of adaptation actions; furthermore, create incentives for international funding to align with nationally identified adaptation priorities rather than having isolated efforts prioritized by the international agencies.
8. In order to simplify follow up and provide clarity of what the priorities and needs of Parties are, the guidance of the adaptation communication should consider categories of information that contribute to simplify follow up and also, facilitate the development of the adaptation communication by Parties (avoiding additional burden to Parties). The content of these initial categories of information to be provided by Parties could be drawn from other existing instruments and are described below.
9. **Avoiding additional burdens:** Guidance of the adaptation communication requires consideration of the different instruments used adaptation. There must be coherence between the adaptation communication and other existing instruments (i.e. National Communications, NAPs, NAPAs, among others) as they can serve as a basis for the adaptation communication and its consideration would help to avoid unnecessary additional efforts. Examples of coherence amongst instruments and the adaptation communication or how the existing communications or documents serve as a basis for the adaptation communication include the following:
 - a. The National Communication (NATCOM), a reporting instrument that includes climate scenarios and vulnerability assessments, can provide input and serve as a basis to identify needs to be submitted in the adaptation communication. Furthermore, as a main reporting instrument of adaptation measures Parties have carried out, for AILAC it is the key input for the Enhanced Transparency Framework.
 - b. The National Adaptation Plan (NAP), a national instrument designed to assist Parties in adaptation planning processes, could serve as a basis to define priorities to be submitted in the adaptation communication. In the same way, the adaptation communication could be used to communicate current and upcoming implementation of adaptation plans included by Parties in their NAPs.
 - c. The Nationally Determined Contributions (NDC), as per Article 3 of the Paris Agreement (which highlights its political prominence), is considered as the most appropriate vehicle to communicate climate action, including adaptation that cannot be seen as isolated from mitigation. The communication of adaptation priorities, needs, plans and actions in the iNDC (more than 75% of Parties presented adaptation component of their iNDC) has helped to raise the political support for adaptation, and in that sense for AILAC, the NDC should serve as the main vehicle for the adaptation communication.

II. Guidance for the adaptation communication

10. **Consideration of timeframes for the submission of the adaptation communication:** In terms of an adequate period of communication that could allow for enhancement of implementation of adaptation actions and measure overall progress of the new commitments under the Paris Agreement, Parties should update their communication on adaptation on the same period they will communicate their mitigation actions (5 year period). This will facilitate the follow up on adaptation efforts and support under the global stocktake and the enhanced transparency framework.
 - a. **Considerations to define categories of information:**
11. A point of departure for the guidance of the adaptation communication is contained in the Global Goal on Adaptation "of enhancing adaptive capacity, strengthening resilience and reducing vulnerability to climate change, with a view to contributing to sustainable development and ensuring an adequate adaptation response in the context of the temperature goal referred to in Article 2" as defined in Article 7.1 of the Paris Agreement.
12. Content of the "categories of information" must be available and shared across all Parties, even if there are different degrees of progress in adaptation planning and different levels of development of national systems of monitoring and evaluation.

13. The “categories of information” should be understood as elements that contribute to facilitate follow up of the adaptation communication including for better understanding among Parties and for an aggregate analysis.
14. The guidance for the adaptation communication that will be provided by establishing “categories of information” shall not be of a permanent nature, on the contrary, this guidance can be improved throughout time by the Parties. In this sense, there should be a periodic review of the guidance and specifically of the categories of information that the adaptation communication should include in order to ensure the adaptation communication is fit to the aforementioned objectives.
15. These information categories should not be considered a requirement for accessing funding mechanisms of any source, as well as to accessing technology development and transfer not to capacity building.

b. Categories of information

16. The following proposal of categories of information for the adaptation communication should be considered as an evolving one. Once Parties decide upon these initial categories of information this can be adopted and revisited by Parties.
17. The categories of information to guide the development of the adaptation communication can be established in two groups: the first group of categories should be the common information that Parties should address in their adaptation communication and the second group of categories would include additional information that Parties could voluntarily include if there is information available for the Parties to submit.
18. Some of the common “categories of basic information” in the adaptation communication that Parties could consider in their Adaptation Communications could include:
 - a. Context information on the country, in order to facilitate the understanding of adaptation priorities and needs, including national long-term adaptation objectives or vision, ideally indicating priority or strategic areas and a brief description of the vulnerability assessment and the expected impacts informed by temperature scenarios.
 - b. Prioritized actions identified, including timeframes if available (short, medium and/or long term).
 - c. Adaptation support needs by developing countries, including financial, technology transfer and development, and capacity building needs to implement identified adaptation actions (*if possible, distinguishing between conditional and national actions*).
 - d. Development instruments through which the adaptation actions or priorities are to be or would be implemented, including national development plans, local and sectorial plans, projects, among others.
19. Parties could also include the following **additional categories of information** in the adaptation communication (if information is available to Parties):
 - a. Information on how the country is planning to monitor and evaluate its progress at a national level.
 - b. Nationally determined co-benefits including the mitigation co-benefits that adaptation action may provide.
 - c. The local, sectoral, subnational, national, regional and international dimensions of adaptation priorities, plans and needs could be included in the context.
 - d. Specify which upcoming adaptation actions to be implemented contribute to increase resilience, increase adaptive capacity and/or to reduce vulnerability (according to Art.7.1).

III. Follow up of the adaptation communication

20. As established in the Paris Agreement, the adaptation communication will have international follow up and according to Article 13 and Article 14, it will occur in both the Enhanced Transparency Framework and the Global Stocktake.
21. In terms of Transparency for adaptation, AILAC believes that it should be oriented as a way to share experiences and lessons learned in the spirit of cooperation and as a way to enhance action and support.

22. In relation to Global stocktake, AILAC considers that this periodic momentum will enable an opportunity to assess overall adaptation efforts and support and increase these efforts in the light of the Global Goal on Adaptation and Art. 2.1(b).
23. The aforementioned categories of information would be required to address the collective aspects of adaptation priorities, needs and support. Along with the financial information provided by developed countries, the assessment of adequacy thereof can be understood, as follow up to the adaptation communication.
24. In order to provide clarity for this international follow up, the registry established in Article 7 paragraph 12 will be fundamental to centralize priorities, needs, plans and actions communicated by Parties. In this sense, the Registry could be informed by the categories of information the adaptation communication will include in order to facilitate international collaboration and identification of trends and synergies to make progress towards the global goal of adaptation.
25. AILAC has provided submissions on both the Global Stocktake and the Enhanced Transparency Framework where greater detail is provided in the role of adaptation in each.

IV. Concluding remarks

26. The Paris Agreement has recognized the importance of enhancing adaptation action including through the identification of adaptation priorities, needs, plans and actions that Parties hereon submitted via the adaptation communication.
27. Considering the alternative instruments to submit the adaptation communication, for AILAC there are clear advantages of presenting it as a component of the nationally determined contributions, including high level political support at the national and international level, parity and articulation with mitigation action.
28. The Agreement has also set up the key elements for adaptation follow up through the Enhanced Transparency Framework and the Global Stocktake. In order to maximise the usefulness of these processes, the adoption of guidance for the adaptation communication and its comprehensive follow up will be fundamental to Parties.
29. Guidance for the adaptation communication should be provided particularly through the definition of categories of information. These adopted categories of information shall be revised iteratively in order to ensure that the adaptation communication is being as useful as possible to enhance adaptation action throughout time and to further follow up and analysis.
30. This guidance should take into consideration existing adaptation information to avoid additional burdens as well as same communication periods as mitigation to be able to identify potential synergies and required ambition.
31. AILAC is providing further associated details to this submission via its submissions for other agenda items, including on Global Stocktake and the Enhanced Transparency Framework. AILAC will also be sharing further views regarding this submission during upcoming negotiations within the UNFCCC.

**SUBMISSION BY COSTA RICA ON BEHALF OF THE AILAC GROUP OF COUNTRIES
COMPOSED BY CHILE, COLOMBIA, COSTA RICA, HONDURAS, GUATEMALA,
PANAMA, PARAGUAY AND PERU**

Subject:

- **Guidance on cooperative approaches referred to in Article 6, paragraph 2, of the Paris Agreement.**
- **Rules, modalities and procedures for the mechanism established by Article 6, paragraph 4, of the Paris Agreement.**
- **Work programme under the framework for non-market approaches referred to in Article 6, paragraph 8, of the Paris Agreement**

References:

**FCCC/SBSTA/2016/L.11
FCCC/SBSTA/2016/L.12
FCCC/SBSTA/2016/L.13**

Introductory Remarks

1. AILAC welcomes the opportunity to submit its views in relation to Article 6, paragraphs 2, 4 and 8 and considers it fundamental to promote ambition, both by creating additional financial resources for developing countries and by providing tools to facilitate Parties achievement of their Nationally Determined Contributions (NDCs) under the Paris Agreement.
2. As stated in Article 6.1, all three elements of voluntary cooperation in the implementation of NDCs identified in Article 6 must be implemented in the context of sustainable development and environmental integrity. Thus, progress in the negotiations on all three elements is important.
3. At the outset, AILAC would like to emphasize that transparency and overall ambition are key for the implementation of Article 6. Hence, robust guidance for Article 6.2 as well as robust rules, modalities and procedures for Article 6.4 need to be delineated in order to ensure that mitigation outcomes are real, measurable and verifiable. Likewise, results achieved through the implementation of activities under Article 6.8 should also be transparently shared including on how these results support the implementation and achievement of NDCs. These requirements for the implementation of Article 6 are additional and complementary to the application of Articles 4, 13 and 15.

Views on the guidance on cooperative approaches referred to in Article 6, paragraph 2, of the Paris Agreement

4. Reaffirming the text of the Paris Agreement, for AILAC, cooperative approaches include any approach that involves two or more Parties (or subnational units thereof, with the appropriate national authorization) and seeks to internationally transfer mitigation outcomes to be counted towards NDC goals. Clear robust guidance which provide a core common framework to guarantee transparency, environmental integrity, governance, robust accounting and the avoidance of double counting will be provided by the

Conference of the Parties serving as the Meeting of the Parties of the Agreement (CMA) whenever the ITMOs are to be used for the achievement of Parties' NDCs.

5. According to the understanding of AILAC, and based on what is included in the Paris Agreement, an ITMO transferred under cooperative approaches is a mitigation outcome that seeks to be internationally transferred to be counted towards NDC goals and should be expressed in terms of tonnes of CO₂ equivalent (tCO₂e). For AILAC, using a common unit that has already been utilised as part of the Convention process would add up to consolidating a transparency framework that is to be enhanced over time.
6. In terms of the accounting of ITMOs, it is important for AILAC that the international transfer of ITMOs between Parties involved in cooperative approaches be reflected in the accounting of the emissions and emissions reductions of those Parties. These transfers need to be reported in biennial communications.
7. Regarding corresponding adjustments that should be done by Parties in order to avoid double counting, AILAC considers that guidance needs to ensure that adjustments are done in a transparent, consistent and comparable way. This guidance should be developed for the different types of NDCs.
8. Furthermore, AILAC considers important that for the effective implementation of cooperative approaches under Article 6.2, further guidance on the core requirements that will guide the participation on these approaches needs to be provided.

Views on Rules, modalities and procedures for the mechanism established by Article 6, paragraph 4, of the Paris Agreement

9. For AILAC, a primary definition of the mechanism to contribute to mitigation of greenhouse gas emissions and support sustainable development is already provided under Article 6 paragraph 4 a), b), c) and d), and paragraphs 5 and 6 of the Agreement.
10. The scoping of activities to be eligible under this mechanism should be inclusive, provided the nationally determined nature of Parties' contributions. Noting however the relevance of the need for robust methodologies that ensure that these activities are implemented in a transparent manner.
11. It is pertinent to underline an additional consideration with regards to the fact that currently most Parties have NDCs that include some level of quantification of their emission reduction objectives. This will need to be taken into account in the adequate use of this mechanism.
12. In addition, AILAC considers relevant to bear in mind previous experiences under the Convention and its Kyoto Protocol when defining the rules, modalities and procedures of the mechanism. Specifically, we see an added value in bringing on board useful experiences in the implementation of Kyoto Mechanisms to the new mechanism under Article 6.4, including:
 - a) Existence of Designated National Authorities (DNAs),
 - b) Creation of a centralised registry of mitigation actions and transfers,

c) Design and use of baseline and other methodologies to calculate emission reductions from different types of activities.

13. Similarly, AILAC would like to highlight a series of lessons learned that could be drawn from the implementation of Kyoto Mechanisms in our countries and that could be taken into account as part of the modalities and procedures of this new mechanism:

a) Processing time. The mechanism defined in Article 6.4 of the Paris Agreement should be more expedite than the Kyoto Mechanisms.

b) A clear differentiation of roles and responsibilities among the different actors involved in the process (e.g. regulators, DOEs, DNAs, participants, etc.) needs to be clearly drawn in order to avoid duplication of efforts that will result in delays and unnecessary transaction costs of the process.

c) Review the concept of additionality according to the different types of NDCs. The concept needs further simplification in order to reduce the times and barriers to access the mechanism.

Work programme under the framework for non-market approaches referred to in Article 6, paragraph 8, of the Paris Agreement

14. With a view to pursue the design of the work programme for non-market approaches to sustainable development as per Article 6, paragraph 8 of the Paris Agreement, AILAC would like to state its understanding that non-market approaches are those cooperative approaches, involving two or more parties, where no transfer of ITMOs occurs in the implementation of NDCs.

15. For AILAC this work programme should be circumscribed to international collaborative initiatives that are not developed anywhere else under the UNFCCC process and that align to the principles and conceptual framework of Article 6. Some specific examples in this sense could relate to the continuous development of NAMAs insofar that they do not seek to generate credits, the reduction of black carbon and, joint initiatives for the conservation of oceans and other ecosystems, in the context of the implementation of NDCs.

16. Results achieved through non-market approaches should also be transparently shared. Concretely, this means that Parties should report on them through the transparency framework thus emission reductions would be reflected in the biennial communications, as appropriate.



**SUBMISSION BY COSTA RICA ON BEHALF OF THE AILAC GROUP OF COUNTRIES
COMPOSED BY CHILE, COLOMBIA, COSTA RICA, HONDURAS, GUATEMALA, PANAMA,
PARAGUAY AND PERU**

Subject: Item 3 Further guidance in relation to the mitigation section of decision 1/CP.21

Reference: FCCC/APA/2016/L.3

Introductory Remarks

1. AILAC welcomes the opportunity to submit its views on item 3 of the APA agenda in order to focus the work on:
 - (a) Features of nationally determined contributions, as specified in paragraph 26;
 - (b) Information to facilitate clarity, transparency and understanding of nationally determined contributions, as specified in paragraph 28; and
 - (c) Accounting for Parties' nationally determined contributions, as specified in paragraph 31.
2. For AILAC, the Paris Agreement provides a long-term pathway towards a low emissions and resilient global economy and thus represents a unique milestone in multilateral diplomacy. For this transformation to happen, Nationally Determined Contributions (NDCs) need to be implemented and scaled up in order to ensure holding the increase in the global average temperature to well below 2 °C above pre-industrial levels.
3. AILAC is of the strong view that further work on information to facilitate clarity, transparency and understanding of NDCs and accounting for NDCs, will enhance our capacity to review progress in their implementation, and ultimately, to assess collective progress towards achieving the long-term goals set out by the Paris Agreement. This is of special importance in light of the aggregated effect of currently communicated NDCs that is still far from 2°C scenarios and yet farther from 1.5°C scenarios.
4. In this sense, it is relevant to recall that there is a wide variety of intended Nationally Determined Contributions (iNDCs) that have been presented to this point in time and that include, inter alia¹:
 - i. Economy-wide mitigation targets, with absolute emission reduction targets expressed as an emission reduction below the level in a specified base year,
 - ii. Relative targets for reducing emissions below 'business as usual' (BAU) level, either for the whole economy or for specific sectors,
 - iii. Intensity targets, with reductions in GHG emissions per unit of gross domestic product (GDP) or per capita,
 - iv. Peaking with respect to a specified year or timeframe or level fixed goal,
 - v. Strategies, plans and actions for low GHG emission development,
 - vi. Adaptation actions that could take the form of mitigation benefits,
 - vii. Others.
5. However, there are some areas in which AILAC finds useful to provide further inputs and, in some cases, further guidance, as reflected below.

Features of nationally determined contributions, as specified in paragraph 26

6. AILAC considers that features of NDCs are already reflected in the Paris Agreement and decision 1/CP.21, as described below:
 - i. The nationally determined nature of contributions;
 - ii. That the implementation of domestic mitigation measures is needed to achieve the objectives of such contributions;

¹ On the basis of the Synthesis Report on the Aggregate Effect of the Intended Nationally Determined Contributions: an update, FCCC/CP/2016/2 presented by the Secretariat on May 2, 2016.

- iii. That Parties shall account for their NDCs;
 - iv. That NDCs shall be communicated every 5 years; and
 - v. That support shall be provided to developing country Parties for the implementation of their NDCs.
8. These features cover the necessary characterization of Parties' mitigation contributions and provide a good framework to ensure that NDCs are defined by each Party, in accordance to their national circumstances and in line with the need for increased ambition. Provided that Article 4.10 of the Agreement refers to the consideration of common time frames for NDCs by the Conference of the Parties serving as the Meeting of the Parties of the Agreement (CMA) and taking into account that paragraphs 23 and 24 of Decision 1/CP.21 still would represent a timeframe discrepancy, AILAC considers desirable to harmonise both timeframes from 2030 and to communicate so every five years onwards, as per article 4.9 of the Paris Agreement.

Information to facilitate clarity, transparency and understanding of nationally determined contributions, as specified in paragraph 28

9. AILAC is of the opinion that information provided as part of each Party' NDC is critical to understand the ensemble of NDCs and should be comprehensive, in order to facilitate clarity, transparency and understanding. In this sense, up-front information of NDCs is central in order to reduce uncertainties in the assessment of progress towards the achievement of the long-term objectives defined in Article 2 of the Paris Agreement.
10. From the Synthesis report on the *Aggregate effect of the intended nationally determined contributions: an update* elaborated by the secretariat (FCCC/CP/2016/2 Paragraphs 116–191) it is possible to observe that many Parties already included several elements of the information listed in Decision 1/CP.21 Paragraph 272 in their INDCs, namely:
- i. The reference point;
 - ii. Periods of implementation;
 - iii. Scope and coverage; and
 - iv. Methodological approaches.
11. AILAC believes that these elements should become integral components of future NDCs to ensure the proper implementation of article 4 of the Paris Agreement and thus Parties need to continue providing information necessary to further ensure clarity, transparency and understanding.
12. Furthermore, subsequent NDCs should also include:
- i. GWP values applied,
 - ii. Gas by gas emission data and, if possible, emissions projections for each year, including the target year,
 - iii. Expected future values and assumptions of main drivers of national emissions such as GDP and population on the target year,
 - iv. Baseline or/and mitigation scenarios or uncertainty range as a result of a sensitivity analysis, and
 - v. Clarity on approaches to the accounting of all sectors (including clarity on some elements of sectoral baselines calculation, as appropriate).

² Quantifiable information on the reference point (including, as appropriate, a base year); time frames and/or periods for implementation; scope and coverage; planning processes, assumptions and methodological approaches including those for estimating and accounting for anthropogenic greenhouse gas emissions and, as appropriate, removals; and how the Party considers that its nationally determined contribution is fair and ambitious, in the light of its national circumstances, and how it contributes towards achieving the objective of the Convention as set out in its Article 2.

13. Furthermore, specific types of NDCs should provide the following additional information:
 - a. Economy-wide mitigation targets, with absolute emission reduction targets expressed as an emission reduction below the level in a specified base year
 - i. Expected emissions level in target year and expected trajectory towards it.
 - b. Relative targets for reducing emissions below BAU level, either for the whole economy or for specific sectors
 - i. Description of the BAU baseline, including assumptions and methodologies, employed in constructing the baseline.
 - ii. Expected emissions trajectory with mitigation policies and actions.
 - iii. Whether the baseline scenario is static or dynamic. If it is dynamic, information on conditions or criteria taken into account to recalculate it should be provided.
 - c. Intensity targets, with reductions in GHG emissions per unit of GDP or per capita
 - i. As mentioned in paragraph 13 above, assumptions related to GDP, GHG emissions and population.
 - ii. Expected level of emissions intensity in the target year and expected trajectory towards it.
 - d. Peaking with respect to a specified year or timeframe or level fixed goal
 - i. Expected amount of emissions at peak or target year
 - ii. In the case of a target for peaking emissions, the trajectory and timeframes to peaking and after peaking, when not included in the NDC timeframe.
 - iii. In the case of a fixed level target, expected emissions level in target year and expected trajectory towards it.
 - e. Strategies, plans and actions for low GHG emission development
 - i. Estimation in terms of GHG emissions impact, i.e. expressed in tCO₂e in order to be added up as a result of the implementation of NDCs.
 - ii. Underlying assumptions.
 - iii. Methodologies to measure impact of policy, plan or action
 - f. Adaptation actions that could take the form of mitigation benefits
 - i. Estimation in terms of GHG emissions impact, i.e. expressed in tCO₂e in order to be added up as a result of the implementation of NDCs.
 - ii. Underlying assumptions.
14. Also, in the initial aggregation of iNDCs by the Secretariat, it has been shown that there are significant uncertainties for understanding the collective ambition of NDCs arising from a lack of clarity on conditionality. In this sense, developing Parties should consider defining the unilateral and the conditional components of each NDC, as a tool to indicate ambition scenarios and to signal the national needs that could be addressed through international support, as well as progressively enhancing transparency and reducing uncertainty.
15. For AILAC, emissions projections could be relevant to assess the global progress towards the long-term temperature goal set out in Article 2. Therefore, it could be useful to include projections in future NDCs, when applicable.
16. Likewise, AILAC considers that Parties should provide information related to the extent to which they intend to use – or to provide to other Parties- Internationally Transferred Mitigation Outcomes (ITMOs) or the mechanism to contribute to mitigation of greenhouse gases to achieve their NDCs. This information should be included as part of biennial reports and/or updated NDCs to facilitate understanding parties' mitigation commitments and their implementation progress.
17. In order to facilitate understanding of progress towards achieving the objective described in Article 2 of the Agreement, AILAC considers that Parties may also include information on their long-term low greenhouse gas emission development strategies, as per Article 4.19 of the Paris Agreement.

Accounting for Parties' nationally determined contributions, as specified in paragraph 31

18. AILAC deems important that the following inputs are considered when developing the guidance for accounting for Parties' different types of NDCs, provided the great variety of current NDCs and with the aim to promote environmental integrity, transparency, accuracy, completeness, comparability and consistency, and ensure the avoidance of double counting:
- i. To adequately account for NDCs, Parties should draw the objectives of their NDCs in a more explicit way and thus further guidance would be useful for information used to prepare NDCs.
 - ii. This guidance should incentivize the use of the more appropriate and scientifically accurate methodological approaches and metrics for estimating and accounting for anthropogenic greenhouse gas emissions and removals provided by the Intergovernmental Panel on Climate Change (IPCC), in order to reduce uncertainty.
 - iii. For Parties interested in participating in international carbon markets, the guidance should provide information on how to transform intended contributions into units and ITMOs that are comparable and allow assessing the aggregate effect of NDCs, a discussion taking place under article 6 of the Agreement.
 - iv. The guidance should consider GHG inventories as a common tool for accounting and for follow up to NDCs, although activity-based accounting should also be allowed in cases when it would not be possible to reflect emissions reductions in the national GHG Inventory (i.e. due to the lack of detailed information).
 - v. All Parties that include the AFOLU sector in their NDC should provide information on whether the Party employs land-based accounting or activity-based accounting towards their NDC, and if the latter, which sources and sinks are not accounted for.
 - vi. In relation to Article 4.3 related to the progression in the level of ambition of NDCs, it is necessary to provide Parties with further guidance on methodologies to identify opportunities to achieve such higher level of ambition and to assess how progression could be defined for each type of NDC.
 - vii. Specific accounting guidance for type of NDC should include:
 - a. Economy-wide mitigation targets, with absolute emission reduction targets expressed as an emission reduction below the level in a specified base year
 - i. All elements mentioned in items i. to vi. of this paragraph.
 - b. Relative targets for reducing emissions below BAU level, either for the whole economy or for specific sectors
 - i. All elements mentioned in items i. to vi. of this paragraph.
 - ii. Methodologies for the calculation of baselines and mitigation scenarios.
 - c. Intensity targets, with reductions in GHG emissions per unit of GDP or per capita
 - i. All elements mentioned in items i. to vi. of this paragraph.
 - ii. Methods for accounting all elements mentioned in items i. to vi. of this paragraph.
 - d. Peaking with respect to a specified year or timeframe or level fixed goal
 - i. Methods for accounting all elements mentioned in items i. to vi. of this paragraph.
 - e. Strategies, plans and actions for low GHG emission development
 - i. Recommended methodologies for calculating GHG emissions reductions or measuring impact on GHG emissions
 - f. Adaptation actions that could take the form of mitigation benefits
 - i. Recommended methodologies for calculating GHG emissions reductions or measuring impact on GHG emissions.
 - viii. With regards to Article 4.13 that refers to the avoidance of double counting, it would be recommended to determine a clear linkage for the use of mechanisms defined in the article 6 of the Paris Agreement as part of Parties' NDCs and, to ensure there is clarity on the ownership of emissions reductions as part of the respective guidance to be provided to these mechanisms.
 - ix. Likewise, AILAC reiterates the importance of defining the unilateral and the conditional components of each NDC. This is particularly relevant in avoiding double counting, as it would clarify whether emissions reductions are reached through a Party's own means or whether it has received international support for them.

- x. In the same vein, there must be clarity on the use of units derived from the implementation of Article 6, in order for their accounting to be assigned to one Party only.
 - xi. Finally, the implementation of this work will require for all Parties to enhance their national systems for emissions accounting and support must be provided for this purpose.
19. Finally, AILAC would like to highlight the effective implementation of the enhanced transparency framework, including that of the technical review and multilateral consideration, as also relevant for this process.

**SUBMISSION BY COSTA RICA ON BEHALF OF THE AILAC GROUP OF COUNTRIES
COMPOSED BY CHILE, COLOMBIA, COSTA RICA, HONDURAS, GUATEMALA, PANAMA,
PARAGUAY AND PERU**

Subject: Item 5 Modalities, procedures and guidelines of the Transparency Framework on Action and Support pursuant Article 13 of the Paris Agreement

Reference: FCCC/APA/2016/L.1 paragraph 8 c).

Introductory Remarks

1. AILAC welcomes the opportunity to submit its views on item 5 of the APA agenda in order to advance the work on the modalities, procedures and guidelines (MPG) of the Transparency Framework on Action and Support pursuant Article 13 of the Paris Agreement.
2. AILAC is of the view that the implementation of the transparency framework should enhance existing provisions of measuring, reporting and verification under the Convention in order to reduce uncertainty, increase the quality of information, support strengthening institutional arrangements, ensure the sustained provision of information over time and strengthen review and consideration processes. In particular, AILAC considers that this framework should facilitate that developing country Parties continually, and over time, improve the provision of more detailed information, high quality data and the usage of the most up to date methodologies and guidelines.
3. Thus, AILAC suggests the following considerations for the modalities, procedures and guidelines of the enhanced transparency framework:

Reporting provisions

i. National Communications

4. AILAC considers that national communications will continue to play an important role in reporting information on climate action, given that the Paris Agreement stipulates that its transparency framework will be built on and enhance the current transparency arrangements under the UNFCCC, including experiences gained through the elaboration of national communications.
5. Also, Parties need to ensure that national communications and the enhanced transparency framework complement and strengthen each other and it will be equally important to avoid duplications and undue burdens on Parties. Thus, AILAC contemplates that, while the development of the MPG for Article 13 is a priority, given that work has to be completed in 2018, at some point there will be a need for Parties to assess how to ensure coherence and complementarity between the enhanced transparency framework and national communications. This could be achieved for example, by agreeing on adjustments to the guidelines for national communications.

ii. Biennial Communications

6. For AILAC the common guidelines for biennial communications should draw upon current reporting guidelines for developed countries and reporting guidelines for developing countries and serve the purpose of tracking progress of the NDCs and, in

particular, progress on implementation of mitigation goals and support provided and received.

7. Development of common guidelines for biennial communications shall not represent a decrease in the level and quality of information provided by all Parties in their current reports. At the same time, these guidelines should include flexibility provisions that allow developing countries to prepare transparent biennial communications according to their national circumstances and capabilities but without losing sight of the importance of improving the level and quality of information over time. Whenever possible and appropriate, tabular formats should be developed to facilitate reporting and access to information.
8. An initial consideration of the scope of the guidelines for preparing biennial communications indicates that they should contain the following sections:
 - a. National Inventory of anthropogenic GHG emissions by sources and removals by sinks
 - Information on the related institutional arrangements
 - b. Information necessary to track progress made in implementing and achieving NDCs pursuant Article 4 of the Paris Agreement, including:
 - Information on the achievement of the NDC
 - Information on mitigation policies and actions
 - Changes and updates of the up-front information reported in the NDC,
 - c. Information related to the implementation of Article 5 of the Paris Agreement
 - d. Information related to the implementation of Article 6 of the Paris Agreement
 - e. Information on adaptation
 - f. Information to ensure methodological consistency
 - Methodological changes and updates in the elaboration of national inventories
 - Methodological changes and updates related to the preparation of NDCs
 - Methodological changes and updates for reporting progress made towards achieving the respective NDC
 - g. Information on financial, technology transfer and capacity-building support
 - Support provided
 - Support needed and received
 - h. Information on capacity needs and capacity developments for transparency
9. AILAC is aware that detailed discussions regarding the information of some elements that should be included in the biennial communications are required. For instances, it is necessary to have clear guidelines for elaboration of National Inventory Reports bearing in mind that it will be important to avoid additional burdens for Parties and the Secretariat. In addition, it will be crucial to identify information needed to track progress made in implementing NDCs and, specifically, information required to track different types of NDCs in order to include requirements related to this information in the guidelines of biennial communications.
10. As for information on adaptation and as expressed in further detail below, AILAC wants to remind that the biennial report of this information will require for the actual and increasing implementation of adaptation actions in order to ensure the availability of

information, increasing support provided, in specific in terms of capacity building and finance to put in place monitoring, evaluation and reporting national, amongst other details. Also, when elaborating guidelines that could facilitate the provision of adaptation in biennial communications, Parties have to bear in mind that due to the specificities of adaptation actions, information relevant to be reported may take more than two years to be collected and submitted.

iii. National GHG inventories and Mitigation: Methodological Issues

11. AILAC is of the view that all Parties should aim to use the latest IPCC guidance, (currently the 2006 IPCC Guidelines and the 2013 Wetlands Supplement) and higher tiers for the preparation of national inventories, especially for key categories. However, flexibility should prevail in the continued use of lower tiers for developing country Parties, for example for non-key categories. This issue in particular will show improvements with continuous capacity building in developing countries. By any means the quality and consistency of information and data utilized by each Party for the preparation of national inventories should be less than what has been used for previous processes.
12. Accurate national GHG inventories should constitute the main instrument to track progress of NDCs. Therefore, it is necessary to strengthen capacities in order to estimate and improve national emission factors and activity data, and reduce the uncertainty of national estimates of emissions and removals, in the development of consistent time series.
13. Biennial Communications should include updated National GHG Inventories and even when national communications submissions coincide with the submissions of biennial communications, the latter should be presented as stand-alone reports. Developed country Parties will continue to present National GHG Inventories annually.
14. As progress is made on the mandates established for the implementation of Article 6 of the Paris Agreement, it is necessary to ensure coherence with the enhanced transparency framework and to its reporting instruments. For the market and non-market components of Article 6, it is especially important to achieve coherence with the enhanced transparency framework when these are used to make progress towards achieving the NDCs, particularly, the holdings and transactions under article 6.2 and 6.4 and how double-counting is avoided and environmental integrity guaranteed.

iv. Means of Implementation

15. For AILAC, one important aim for the transparency framework has to be to improve the comparability and reduce uncertainty of data and information regarding climate finance, technology development and transfer and capacity building. It must generate useful and credible data on the provision and mobilization of support, including all three components of the means of implementation for the Paris Agreement.
16. The enhanced transparency framework must build upon and take into account the work already done and under way in different bodies under the Convention, such as the development of the modalities for the accounting of financial resources provided and mobilized through public interventions in accordance with Article 9, paragraph 7 of the Paris Agreement and the experiences of the Biennial Assessments and Overview of Financial Flows done by the Standing Committee on Finance.

17. It would be essential to agree general guidelines and methodologies if possible, to frame the way Parties report and create a dynamic system that continuously triggers the effective provision and mobilization of all means of implementation.
18. It is very relevant for the framework for transparency of support that Parties report on support provided and received. The reports of support provided should serve to improve its effectiveness in the light of needs and priorities of developing countries and identify gaps on how developed countries are providing support.
19. As stated in paragraph 94 of decision 1/CP21, reporting on support received by developing countries should be enhanced, including its use, impact and estimated results, especially in the context of NDCs. However, the provision of information related to support received by developing country Parties represents a challenge since it has not been systematically done and generally data has not been collected before..
20. The new reporting responsibilities for developing countries will require new and enhanced technical capabilities and the development and consolidation of domestic systems to improve the coordination among different stakeholders. From a technical standpoint it must be noted that reporting on support received will be more feasible if there are clear guidelines and definitions related to what constitutes provided support, as well as for mobilized support and if there is more transparency on methodological approaches and underlying assumptions used by developed countries.

v. *Adaptation*

21. Having clarity and tracking progress of Parties adaptation actions under Article 7, as well as of the support provided and received for the adaptation actions, are embedded to the purpose of the Enhanced Transparency Framework, as stated in Article 13 paragraph 5 and 6, respectively.
22. Transparency of adaptation action should be oriented as a way to share priorities and lessons learned between Parties in the spirit of cooperation and enhancing action and support as established in Article 13.
23. Despite its importance, the Enhanced Transparency Framework must not make reporting on adaptation action for transparency purposes an additional burden to Parties. The inherent flexibility of the Enhanced Transparency Framework for adaptation must be guaranteed, through the use of a variety of vehicles, while avoiding confusion about the number of reports required from Parties under the Convention. Currently reporting of adaptation efforts is carried out through the national communications, which essentially provide. “backwards looking” information on adaptation efforts conducted within countries. Additionally, any guidance that is developed should take into account the specificities of adaptation action and give due consideration to the required longer time frames and to the challenges there are in developing and obtaining outcomes (quantitative or qualitative) and of the monitoring and evaluation of adaptation action. This guidance should take into account the following issues:
 - a. In implementing the Paris Agreement as Parties submit their adaptation communications, their capacities grow and their actions are being implemented there will be further progress of action to be reported through their national communications. Parties should update their communication on adaptation on the same period they will communicate their mitigation actions

(5 year period). This will facilitate the follow up on adaptation efforts and support under the global stocktake and the enhanced transparency framework. In due time, there will also be more information available, as well as greater respective capacities, to be reported via the biennial communications.

- b. Although submitting information on a biennial period as stated in paragraph 90 of Decision 1/CP.21 could be possible and desirable in the future, many Parties would need to first improve their now limited capacities, enhance the implementation of adaptation action and increase information available for this purpose. As stated in AILAC's Submission on Item 4, there should be a periodic review of the guidance and specifically of the categories of information that the adaptation communication should include. National Communications should continue to be the vehicle to report on the implementation of adaptation actions while national capacities are improved through enhanced support for a more frequent reporting.
- c. Guidance on any biennial reporting of adaptation under the enhanced transparency framework, should consider the developing country Parties capacity, the availability of information to report on and the development of internal monitoring and evaluation systems.

24. The critical component of the enhanced transparency framework regarding support provided and received for adaptation action will also be developed by all Parties and is further detail is given in the context of means of implementation of this submission.

Technical Review

25. As established in the Paris Agreement, common MPG should be developed for the technical review of information that will be communicated biennially.

26. For AILAC, the review process clearly has to serve to improve technical capacities in the country both for transparency purposes as well as for facilitating the implementation of NDCs and it should thus be designed accordingly. Therefore, although the focus of the review should be to determine consistency of the information with the MPGs, it also should include the assistance to identify capacity-building needs through recommendations of the technical experts in charge of the review process., to inter alia regarding consistency of information with MPGs.

27. It is desirable that the development of the review guidelines is informed by current guidelines for Review of National Communications, National Inventories, International Assessment and Review and the International Consultation and Analysis. Flexibility provisions should be considered for developing countries according to the progressive enhancement of their capacities, for example, by allowing a more flexible timeframe for implementing any recommendations by the technical experts and by identifying those recommendations that may be implemented only if sufficient financial support and capacity building is of the view that these common guidelines for review should not represent a decrease in the current level of scrutiny for developed country Parties..

28. The technical review process, should be conducted through desk and centralized, and regular in-depth reviews of the information reported in biennial communications. The aim to avoid additional burdens for the Parties and the Secretariat of the Convention also has to be considered when developing MPG in this context.

29. In addition, AILAC considers that this process should take advantage of the experience gained by the teams of technical experts and Lead Reviewers, in the assessment of Biennial Reports, Biennial Update Reports, Annex I annual national inventory reports (including national GHG inventories), KP assigned amounts and accounting (including activities under paragraph 3.3. and 3.4. of the KP), REDD+ reference levels and REDD+ technical annexes. The technical review should be conducted by experts nominated by Parties for being included in the roster of experts of the UNFCCC.
30. The main output of this technical review should be a report that includes:
- a. Consideration of implementation and achievement of the respective NDC
 - b. Information related to support provided and received, as relevant
 - c. An assessment of transparency, accuracy, consistency, completeness, and comparability of information in relation to the MPG.
 - d. Recommendations by expert review teams to Parties
 - e. Identification of capacities needed to improve quality and level of information reported to track NDCs, including national GHG inventories.
31. For AILAC, it is important to remark that recommendations provided by technical experts should be aimed to improve national capacities for monitoring and reporting and by any means should be intrusive or result in an assessment of the adequacy of policies and measures taken by a Party.
32. Technical review reports should be made publicly available although special consideration may apply to confidential information

Facilitative Multilateral Consideration of Progress

33. AILAC stresses the importance of the multilateral consideration of progress for building trust and confidence amongst Parties. This process should follow the technical review process and be based on the biennial communications.
34. For AILAC, modalities and procedures for this process should expand upon M&P of multilateral assessment under IAR and the facilitative sharing of views under ICA. Therefore, for AILAC, the general process of multilateral consideration of progress may include the following steps:
- a. Preparation of session: Parties would have the possibility to pose questions to enhance clarity and understanding regarding elements included in the Biennial Communication of the Party under consideration. Parties under consideration should respond that questions before the session of multilateral consideration.
 - b. Consideration session: The Party under consideration should make a brief presentation of the main elements included in its biennial communication and other Parties can ask questions about it and later receive responses by the Party under consideration.
 - c. Post-session: Compilation of a summary report that includes the main results of the multilateral consideration process.

Inputs of the Enhanced Transparency framework to the Global Stocktake

35. AILAC considers that the reporting guidelines for biennial communications for all Parties should guarantee that information provided for tracking progress of NDCs can be easily and transparently aggregated.
36. In the context of the Global Stocktake as established under article 14 of the Paris Agreement, the enhanced transparency framework should provide valuable inputs to assess the collective progress towards achieving the purpose of the Agreement and its long-term goals. In order to fulfil this task, the Secretariat and other relevant bodies should be requested to elaborate the following reports on the basis of biennial communications, technical expert reviews and facilitative multilateral consideration:
 - a. Regular summaries of GHG emissions and emissions trends: AILAC considers that Summaries of GHG emissions would allow understanding the progress made towards the global goal and a summary of global emissions trends, which would be necessary to visualize the emissions path that all Parties will follow towards the global goal.
 - b. Synthesis reports on the aggregate effect of NDCs implemented and achieved by parties: this could help identify the additional efforts that would be needed to achieve the global long-term goals.
 - c. Synthesis reports of needs for mitigation and adaptation actions that should be covered in order to increase the ambition and to ensure the achievement of the global long-term goals.
 - d. Aggregate information on support provided and received. This information should be aggregated to show a picture to support provided for mitigation and adaptation and if possible also by sectors. The SCF would play an important role in aggregating this information.

Facilitating the implementation of the Enhanced Transparency Framework

37. The effective implementation of the enhanced transparency framework requires that, when appropriate, all Parties enhance their institutional arrangements and capacities with regards to tracking of progress of NDCs and the corresponding reporting instruments. In this context for developing country Parties, receiving continuous support from CBIT will be fundamental to ensure an appropriate implementation of Article 13 and to strengthen national capacities that bring long-lasting positive effects.
38. AILAC countries are committed to enhance their own national transparency systems and in this process, they have identified areas where capacity building would be required in order to improve measuring, reporting and verification of information related to national and sectorial GHG emissions, as well as for mitigation actions and goals, and for quantifying support received and evaluating adaptation actions. The identified areas include but are not limited to the following:
 - a. Enhancement of monitoring and evaluation of adaptation actions and their impacts, through appropriate methodologies and development of national indicators
 - b. Strengthening of technical and institutional capacities to gather and process sectorial information needed for the elaboration of national GHG inventories and for tracking mitigation actions, in particular for the use of higher tiers for key

- categories of for sectors or categories where key mitigation actions are being implemented in the context of the NDCs
- c. Strengthening of sectoral information systems in order to ensure continuous and systematic provision of information needed for the elaboration of National GHG inventories
 - d. Accessing sufficient financial resources to maintain and continuously train technical teams responsible for updating national GHG inventories, and for developing and improving biennial communications
 - e. Estimation and improvement of national GHG emission factors and activity data, while maintaining methodological consistency in time.
 - f. Design and implementation of robust MRV systems for tracking of mitigation actions and policies, as well as climate finance, technology transfer and capacity building
 - g. Provision of technical information related to support received, its use, impact and estimated results
 - h. Assessment of mitigation and adaptation needs
39. In the same vein, AILAC would like to emphasise that procedures to access financial and technical resources from the CBIT should be practical, streamlined and as simple as possible in order to avoid lengthy processes of approval that could constitute an additional obstacle for the biennial provision of information. The CBIT should take into account that country proposals that seek to enhance institutional capacity may take time to be developed. Therefore, it will be important to ensure timely and optimum support for the elaboration of these proposals.
40. Finally, AILAC would like to underline the importance that the CBIT has sufficient and sustained financial resources for its proper functioning.

