



# Gap Analysis Report on the Requirements for the Submission of Biennial Transparency Reports in the Pacific Alliance Countries and Ecuador

Lima, 18 July 2023



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## List of Abbreviations and Acronyms

|   |   |
|---|---|
| <b>PA</b> Pacific Alliance  | <b>IETA</b> International Emissions Trading Association                   |
| <b>BTR</b> Biennial transparency report   | <b>INECC</b> National Institute of Ecology and Climate Change             |
| <b>BUR</b> Biennial update report   | <b>IPCC</b> Intergovernmental Panel on Climate Change                     |
| <b>CBIT-GSP</b> Capacity-Building Initiative on Transparency Global Support Programme             | <b>MMA</b> Ministry of the Environment of Chile                           |
| <b>CC</b> Climate Change  | <b>MPG</b> Modalities, Procedures and Guidelines                          |
| <b>IC</b> International Conservation  | <b>MRV</b> Measurement, Reporting, and Verification                       |
| <b>CMA</b> Conference of the Parties serving as the meeting of the Parties to the Paris Agreement | <b>ETF</b> Enhanced transparency framework                                |
| <b>UNFCCC</b> United Nations Framework Convention on Climate Change                               | <b>NDC</b> Nationally Determined Contributions                            |
| <b>CRT</b> Common Reporting Tables  | <b>NC</b> National Communications   |
| <b>CTF</b> Common Tabular Formats   | <b>PATPA</b> Partnership on Transparency in the Paris Agreement           |
| <b>FAO</b> Food and Agriculture Organization of the United Nations                                | <b>SIDS</b> small island developing States                                |
| <b>GHG</b> greenhouse gases   | <b>LDC</b> least developed countries                                      |
| <b>GEF</b> Global Environment Facility  | <b>NAP</b> National Adaptation Plan                                       |
| <b>GIZ</b> German Agency for International Cooperation  | <b>REDD+</b> Reducing emissions from deforestation and forest degradation |
| <b>IDEAM</b> Institute of Hydrology, Meteorology and Environmental Studies                        |   |



## 1. Introduction

The Paris Agreement establishes a common “Enhanced Transparency Framework” (ETF), for developed and developing countries to contribute to the global effort to keep the average global temperature rise well below 2°C above pre-industrial levels, and to pursue efforts to limit the temperature rise to 1.5°C, to enhance adaptation to the adverse effects of climate change, and to bring financial flows to levels consistent with a low greenhouse gas emission and climate-resilient development pathway.

The ETF has two clear objectives, one on transparency in climate action and the other on supporting such action. Regarding transparency on climate action, the objective is to provide a clear understanding of measures adopted to address climate change in the light of the objective of the United Nations Framework Convention on Climate Change (UNFCCC) as set out in Article 2, including clarity on the tracking of progress towards achieving Parties’ Nationally Determined Contributions (NDCs) under Article 4 of the Paris Agreement and Parties’ adaptation actions under Article 7.

In relation to climate action support, the objective is to provide clarity on the support provided or received from the different Parties in the context of measures to address climate change, and to provide an overview of the financial support provided to report on the Global Stocktake<sup>1</sup> of the Paris Agreement. The Biennial Transparency Report (BTR) is a new requirement for Parties under the Paris Agreement. The BTRs will replace the reports previously established in the Convention (Biennial Reports and Biennial Update Reports). The BTRs will be a source of key input to the Global Stocktake. Countries are committed to submit them on time with the best possible quality (the first BTR submission date is 31 December 2024 and every 2 years thereafter).

Gold Standard is implementing a multi-year project, funded by Environment and Climate Change Canada (ECCC), to support the Pacific Alliance MRV and Climate Change Technical Sub-Group (SGT-MRV) in responding to member country priorities to develop capacities and systems to support climate action. As part of this support, Gold Standard sought an implementing partner to undertake work to support the governments of PA and Ecuador on issues related to Greenhouse Gas Emissions Inventories (NGHGI). Specifically, it requested

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<sup>1</sup> Global Stocktake: Will provide critical information for countries and stakeholders to see progress made in achieving the objectives of the Paris Agreement, as well as to identify remaining gaps and opportunities for increased action (UNFCCC, 2022).

support for the "Preparation of Biennial Transparency Reports". Gold Standard has therefore contracted Libélula to develop a consultancy service to prepare the technical teams of the PA member countries and Ecuador for the arrangement and submission of their BTR.

This report is the first deliverable of the consultancy service whose overall objective is to present the results of the analysis on the level of understanding of the BTR requirements by the national technical teams of the PA member countries and Ecuador, as well as the results of the gap analysis between: the reporting requirements under the Kyoto Protocol and those of the Paris Agreement, based on existing public reports or information, and the information currently collected by the PA member countries and the information required to complete the BTR.

## 2. Methodology

This section presents the processes for defining the gaps in the BTRs submission requirements for the PA countries and Ecuador. It also outlines the approaches used in the planned activities.

The first process was the literature review, which focused on analysing existing studies and documentation and considered three sets of inputs: i) decisions adopted by the Conference of the Parties serving as the meeting of the Parties to the Paris Agreement, ii) reporting instruments to the UNFCCC such as NDCs, National Communications (NCs), Biennial Update Reports (BURs), National Adaptation Plans (NAPs) and the NGHGI of each country, and iii) the study on the initial assessment of Transparency Capacities conducted by The Capacity-building Initiative for Transparency – Global Support Programme (CBIT-GSP).

The second process was data collection and it focused on the perspectives of the country focal points, for which surveys and interviews were developed. For the design of both tools, and considering the collaborative methodological approach, the existence of global and regional platforms currently addressing transparency and MRV issues was identified, such as the CBIT-GSP and the Partnership on Transparency in the Paris Agreement (PATPA). For its part, in 2023, the CBIT-GSP has developed the "Initial Assessment of Transparency Capacities"<sup>2</sup> study, while PATPA has developed the "BTR Roadmap and Guidance Tool"<sup>3</sup>. Both instruments have been used as a basis for the development of the surveys and interviews of this consultancy service for the identification of gaps.

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<sup>2</sup> For further information on the aforementioned study, see the Literature Review section of this document.

<sup>3</sup> Available at: <https://transparency-partnership.net/publications-tools/btr-guidance-and-roadmap-tool>



## 2.1. Literature Review

### 2.1.1. Decisions Adopted by the Conference of the Parties Serving as the Meeting of the Parties to the Paris Agreement

The ETF aims at building confidence by ensuring that all countries contribute appropriately to the global effort. During the Katowice conference (COP24) in December 2018, a framework that applies to all countries was agreed, adopting a comprehensive set of modalities, procedures and guidelines (MPGs) to enable the implementation of the Paris Agreement. These can be found in **Decision 18/CMA.1 Modalities, procedures and guidelines for the transparency framework for action and support referred to in Article 13 of the Paris Agreement.**

These modalities, procedures and guidelines for the transparency framework for measures and support consider certain guiding principles to be taken into account by the Parties when preparing BTRs. Among them, it should be noted that each country is sovereign and shall apply the transparency framework in a facilitative, non-intrusive and non-punitive manner. It also reminds the Parties to improve reporting and transparency over time. Likewise, each developing country Party may apply flexibility where necessary, taking into consideration the principle of Common but Differentiated Responsibilities, each Party shall indicate its capacity constraints and the timeframe within which they will make improvements. The principles also seek to avoid duplication and undue burden on Parties and the secretariat, and to ensure that the frequency of reporting by Parties is consistent with the quality of the information submitted.

As can be seen, Decision 18/CMA.1 is essential for the enhanced transparency framework as it concretised the framework with the MPGs that allow for the implementation of the Paris Agreement and provides the information that the BTR must contain in a comprehensive manner.

National reporting on climate change is becoming increasingly important as citizens have a growing interest in understanding the impacts of climate change on their lives and businesses and expect information and accountability from their governments on actions taken to reduce the impacts of climate change and GHG emissions. In addition, the reports provide opportunities for wider national debate and provide coherent information for national policymaking on climate change and other related issues.

Complementing the MPGs, Decision 5/CMA.3 provides practical guidance on the ETF and



details the common tables, common tabular formats and outlines of the required reports and documents related to the national emission inventory, the tracking of NDC progress, the BTR, the technical expert review and the outline of the training programme for technical experts involved in the technical review of the biennial transparency reports. These were developed to make the transparency exercise as robust as possible and to ensure the consistency, comparability and reliability of the information submitted by countries.

However, there is a number of decisions that are complementary to the ETF, as shown in the table below.

**Table 1. Decisions adopted by the Conference of the Parties serving as the meeting of the Parties to the Paris Agreement related to the Enhanced Transparency Framework**

| Decision  | Name   |
|-----------|--|
| 1/CP.21   | Approval of the Paris Agreement  |
| 18/CMA.1  | Modalities, procedures and guidelines for the transparency framework for action and support referred to in Article 13 of the Paris Agreement.  |
| 2/CMA.3   | Guidance on cooperative approaches as referred to in Article 6, paragraph 2 of the Paris Agreement   |
| 3/CAMA.3s | Rules, modalities and procedures of the mechanism established by Article 6, paragraph 4, of the Paris Agreement  |
| 4/CMA.3   | Work programme under the framework for non-market approaches referred to in Article 6, paragraph 8, of the Paris Agreement.  |
| 5/CMA.3   | Guidance for operationalising the modalities, procedures and guidelines for the enhanced transparency framework for action and support referred to in Article 13 of the Paris Agreement. |
| 6/CMA.4   | Matters relating to cooperative approaches referred to in Article 6, paragraph 2, of the Paris Agreement.  |
| 8/CMA.4   | Matters relating to the work programme under the framework for non-market approaches referred to in Article 6, Paragraph 8, of the Paris Agreement.                                      |
| 9/CMA.4   | Reviews on a voluntary basis of information reported pursuant to decision 18/CMA.1, annex, chapter IV, and respective training courses needed  |

Source: UNFCCC, N.D. Adapted by: Libélula Comunicación Ambiente y Desarrollo SAC.





### 2.1.2. National Reporting Instruments

Prior to the establishment of the Enhanced Transparency Framework, countries had reporting instruments to the UNFCCC, such as the NDCs, NCs, BURs, NAPs and NGHGI of each country. These were reviewed (see Tables 2 to 6), to identify areas where countries already have some information required for the BTR and where the MPGs introduce new requirements in terms of data collection. Although the submission of the first BTR is scheduled for December 2024, countries currently working on updating some of their reporting instruments will benefit from having some of the requirements collected and updated.



Table 2. Chile's Reporting Instruments to the UNFCCC

| CHILE                     |      |                     |      |      |      |                     |      |      |                      |                     |                     |                      |   |  |                     |                      |                      |                     |
|---------------------------|------|---------------------|------|------|------|---------------------|------|------|----------------------|---------------------|---------------------|----------------------|---|--|---------------------|----------------------|----------------------|---------------------|
| Year                      | 1997 | 2000                | 2001 | 2006 | 2010 | 2011                | 2012 | 2013 | 2014                 | 2015                | 2016                | 2017                 | 2018                                      | 2019   | 2020                | 2021                 | 2022                 | 2023                |
| NC                        |      | <a href="#">NC1</a> |      |      |      | <a href="#">NC2</a> |      |      |                      |                     | <a href="#">NC3</a> |                      |   |  |                     | <a href="#">NC4</a>  |                      |                     |
| BUR                       |      |                     |      |      |      |                     |      |      | <a href="#">BUR1</a> |                     |                     | <a href="#">BUR2</a> | <a href="#">BUR3</a>                      |  |                     | <a href="#">BUR4</a> | <a href="#">BUR5</a> |                     |
| NIR                       |      |                     |      |      |      |                     |      |      |                      | <a href="#">NIR</a> |                     | <a href="#">NIR</a>  |   | <a href="#">NIR</a>                                |                     | <a href="#">NIR</a>  |                      | <a href="#">NIR</a> |
| NDC                       |      |                     |      |      |      |                     |      |      |                      |                     |                     |                      |   |  | <a href="#">NDC</a> |                      |                      |                     |
| Technical Annex on REDD + |      |                     |      |      |      |                     |      |      |                      |                     |                     |                      | <a href="#">Technical Annex on REDD ±</a> | <a href="#">Modified Technical Annex on REDD ±</a> |                     |                      |                      |                     |

Source: Authors' elaboration

Table 3. Ecuador's Reporting Instruments to the UNFCCC

| ECUADOR                   |      |                     |      |      |      |      |                     |      |      |      |   |                     |      |                     |      |      |      |                      |
|---------------------------|------|---------------------|------|------|------|------|---------------------|------|------|------|---|---------------------|------|---------------------|------|------|------|----------------------|
| Year                      | 1997 | 2000                | 2001 | 2006 | 2010 | 2011 | 2012                | 2013 | 2014 | 2015 | 2016                                      | 2017                | 2018 | 2019                | 2020 | 2021 | 2022 | 2023                 |
| NC                        |      | <a href="#">NC1</a> |      |      |      |      | <a href="#">NC2</a> |      |      |      |   | <a href="#">NC3</a> |      |                     |      |      |      | <a href="#">NC4</a>  |
| BUR                       |      |                     |      |      |      |      |                     |      |      |      | <a href="#">BUR1</a>                      |                     |      |                     |      |      |      | <a href="#">BUR2</a> |
| NIR                       |      |                     |      |      |      |      |                     |      |      |      |   | <a href="#">NIR</a> |      |                     |      |      |      | <a href="#">NIR</a>  |
| NDC                       |      |                     |      |      |      |      |                     |      |      |      |   |                     |      | <a href="#">NDC</a> |      |      |      |                      |
| Technical Annex on REDD + |      |                     |      |      |      |      |                     |      |      |      | <a href="#">Technical Annex on REDD ±</a> |                     |      |                     |      |      |      |                      |

Source: Authors' elaboration

Table 4. Mexico's Reporting Instruments to the UNFCCC

| MEXICO                    |                     |      |                     |                     |                     |      |                     |      |      |                      |      |      |      |                      |      |      |   |      |
|---------------------------|---------------------|------|---------------------|---------------------|---------------------|------|---------------------|------|------|----------------------|------|------|------|----------------------|------|------|---|------|
| Year                      | 1997                | 2000 | 2001                | 2006                | 2010                | 2011 | 2012                | 2013 | 2014 | 2015                 | 2016 | 2017 | 2018 | 2019                 | 2020 | 2021 | 2022                                      | 2023 |
| NC                        | <a href="#">NC1</a> |      | <a href="#">NC2</a> | <a href="#">NC3</a> | <a href="#">NC4</a> |      | <a href="#">NC5</a> |      |      |                      |      |      |      |                      |      |      |   |      |
| BUR                       |                     |      |                     |                     |                     |      |                     |      |      | <a href="#">BUR1</a> |      |      |      | <a href="#">BUR2</a> |      |      | <a href="#">BUR3</a>                      |      |
| NIR                       |                     |      |                     |                     |                     |      |                     |      |      |                      |      |      |      | <a href="#">NIR</a>  |      |      | <a href="#">NIR</a>                       |      |
| NDC                       |                     |      |                     |                     |                     |      |                     |      |      |                      |      |      |      |                      |      |      | <a href="#">NDC</a>                       |      |
| Technical Annex on REDD + |                     |      |                     |                     |                     |      |                     |      |      |                      |      |      |      |                      |      |      | <a href="#">Technical Annex on REDD +</a> |      |

Source: Authors' elaboration

Table 5 Colombia's Reporting Instruments to the UNFCCC

| COLOMBIA                  |      |      |                     |      |                     |      |      |      |      |   |  |                     |   |                     |                     |      |                      |      |
|---------------------------|------|------|---------------------|------|---------------------|------|------|------|------|---|--|---------------------|---|---------------------|---------------------|------|----------------------|------|
| Year                      | 1997 | 2000 | 2001                | 2006 | 2010                | 2011 | 2012 | 2013 | 2014 | 2015                                      | 2016   | 2017                | 2018                                      | 2019                | 2020                | 2021 | 2022                 | 2023 |
| NC                        |      |      | <a href="#">NC1</a> |      | <a href="#">NC2</a> |      |      |      |      |   |  | <a href="#">NC3</a> |   |                     |                     |      |                      |      |
| BUR                       |      |      |                     |      |                     |      |      |      |      | <a href="#">BUR1</a>                      |  |                     | <a href="#">BUR2</a>                      |                     |                     |      | <a href="#">BUR3</a> |      |
| NIR                       |      |      |                     |      |                     |      |      |      |      |   |  |                     |   | <a href="#">NIR</a> |                     |      | <a href="#">NIR</a>  |      |
| NDC                       |      |      |                     |      |                     |      |      |      |      |   |  |                     |   |                     | <a href="#">NDC</a> |      |                      |      |
| Technical Annex on REDD + |      |      |                     |      |                     |      |      |      |      | <a href="#">Technical Annex on REDD ±</a> | <a href="#">Modified Technical Annex on REDD ±</a> |                     | <a href="#">Technical Annex on REDD ±</a> |                     |                     |      |                      |      |

Source: Authors' elaboration

Table 6 Peru's Reporting Instruments to the UNFCCC

| PERU                      |      |      |                     |      |                     |      |      |      |                      |      |                     |      |      |                      |                     |      |      |      |
|---------------------------|------|------|---------------------|------|---------------------|------|------|------|----------------------|------|---------------------|------|------|----------------------|---------------------|------|------|------|
| Year                      | 1997 | 2000 | 2001                | 2006 | 2010                | 2011 | 2012 | 2013 | 2014                 | 2015 | 2016                | 2017 | 2018 | 2019                 | 2020                | 2021 | 2022 | 2023 |
| NC                        |      |      | <a href="#">NC1</a> |      | <a href="#">NC2</a> |      |      |      |                      |      | <a href="#">NC3</a> |      |      |                      |                     |      |      |      |
| BUR                       |      |      |                     |      |                     |      |      |      | <a href="#">BUR1</a> |      |                     |      |      | <a href="#">BUR2</a> |                     |      |      |      |
| NIR                       |      |      |                     |      |                     |      |      |      |                      |      |                     |      |      | <a href="#">NIR</a>  |                     |      |      |      |
| NDC                       |      |      |                     |      |                     |      |      |      |                      |      |                     |      |      |                      | <a href="#">NDC</a> |      |      |      |
| Technical Annex on REDD + |      |      |                     |      |                     |      |      |      |                      |      |                     |      |      |                      |                     |      |      |      |

Source: Authors' elaboration

### **2.1.3. Initial Assessment of Transparency Capacities Conducted by the Capacity-Building Initiative for Transparency – Global Support Programme (CBIT-GSP<sup>4</sup>)**

The Initial Assessment of Transparency Capacities aimed at analysing the capacities of the member countries of the Regional Network of Latin America and the Spanish-speaking Caribbean in relation to climate transparency and the reporting requirements established within the enhanced transparency framework of the Paris Agreement and the UNFCCC, as well as to identify gaps, needs and priorities for preparing the 2023 Regional Network Work Plan. This assessment was carried out in 14 out of the 18 countries of the Regional Network (Argentina, Chile, Colombia, Costa Rica, Cuba, Ecuador, El Salvador, Guatemala, Honduras, Panama, Paraguay, Peru, the Dominican Republic and Venezuela).

The initial assessment of transparency capacities concluded that most countries are familiar with ETF provisions and ten countries have already requested funding from the GEF. However, challenges remain due to limited human and financial resources as well as a lack of robust information systems. Such assessment also concluded that the three most urgent needs for transparency support and capacity-building in the 14 countries assessed are:

- 1) Capacity-building for the Modalities, Procedures and Guidelines (MPG), Common Reporting Tables (CRT) and Common Tabular Formats (CTF) to analyse, implement and achieve the provisions and requirements of MPG (Decision 18/CMA.1) and the Guidance for operationalising MPG (Decision 5/CMA.3).
- 2) NDC tracking involving various areas, such as establishing domestic institutional arrangements; describing the NDC in a transparent manner; reporting information necessary to track the progress made in NDC implementation; describing mitigation policies and measures.
- 3) Tracking and assessment of adaptation, which requires information on current and projected climate trends and hazards, information on potential and observed impacts of climate change, indicators to measure resilience building, among others.

The needs identified in the CBIT-GSP study, although they do not consider the particularities of Mexico and are framed in 14 countries, are in line with the gaps identified throughout this document for the PA countries and Ecuador to achieve the requirements of the BTR. However, they diverge in that the countries in this document have not prioritised

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<sup>4</sup> Available at:

[https://www.cbitplatform.org/sites/default/files/events/docs/2023-03/Report%20Capacity%20Needs%20Assessment%20LAC\\_2.pdf](https://www.cbitplatform.org/sites/default/files/events/docs/2023-03/Report%20Capacity%20Needs%20Assessment%20LAC_2.pdf)



tracking and evaluation of adaptation, as they do not have the capacities to meet the established deadlines, so they plan to apply flexibility for this section of the BTR in this first submission.

## 2.2. Data Collection

As mentioned at the beginning of the Methodology section, to complement the literature review, the CBIT-GSP and PATPA studies and tools were reviewed.

On the one hand, the CBIT-GSP project aims at supporting countries in preparing and submitting their climate transparency reports. In addition, it is promoting the establishment of 10 regional networks for the sharing of knowledge, good practices and lessons learned among regional experts. In 2023, they developed the "Initial assessment of transparency capacities"<sup>5</sup> study.

On the other hand, PATPA aims at supporting practical exchanges between developing and industrialised countries and serves as a discussion forum for climate negotiation issues. In 2021, PATPA developed the "BTR Roadmap and Guidance Tool"<sup>6</sup>.

The instruments of both organisations have been used as a basis for the development of the surveys and interviews of this consultancy service for the identification of gaps.

### 2.2.1. Survey

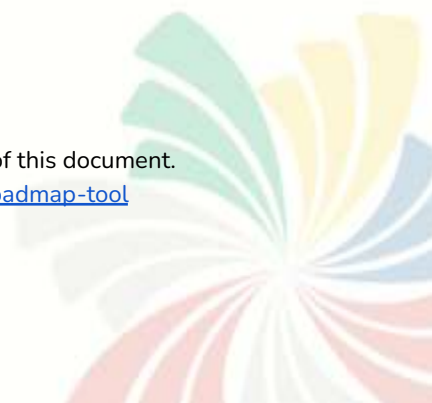
As mentioned above, PATPA, together with the Food and Agriculture Organisation of the United Nations (FAO), have developed the BTR Guidance and Roadmap Tool to assist developing countries in planning the process of preparing their first BTR and to develop a Roadmap for its implementation. This tool allows users to identify key elements to consider when planning a BTR, as well as good practices and recommendations to improve the quality of the process over time.

For the assessment of the PA countries and Ecuador, Libélula developed a virtual survey based on the PATPA tool, since although this tool is practical and interactive, it is used for countries at the international level and is not framed in the PA countries and Ecuador. Therefore, the assessment was adapted, and a virtual survey was carried out using the Survey Monkey platform. (For further details on the survey, see Annex 3.1).

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<sup>5</sup> For further information on the aforementioned study, see the Literature Review section of this document.

<sup>6</sup> Available at: <https://transparency-partnership.net/publications-tools/btr-guidance-and-roadmap-tool>





### 2.2.2. Interviews

Following the filling in of the surveys, a series of interviews with the focal points of the PA countries and Ecuador were designed to determine the level of institutional, technical and financial preparedness of the PA countries and Ecuador for the preparation of the first BTR, and to explore in greater depth the motivations in each of the PA countries and Ecuador (see Table 7).

**Table 7 Focal points of the PA countries and Ecuador**

| Country  | Focal point      | E-mail   |
|----------|------------------|--|
| Chile    | Camila Labarca   | <a href="mailto:clabarca@mma.gob.cl">clabarca@mma.gob.cl</a>                         |
| Colombia | Sandra Granados  | <a href="mailto:sigranadosa@minambiente.gov.co">sigranadosa@minambiente.gov.co</a>   |
| Ecuador  | Paul Melo        | <a href="mailto:paul.melo@ambiente.gob.ec">paul.melo@ambiente.gob.ec</a>             |
|          | Gabriela Vargas  | <a href="mailto:gabriela.vargas@ambiente.gob.ec">gabriela.vargas@ambiente.gob.ec</a> |
|          | Karina Barrera   | <a href="mailto:karina.barrera@ambiente.gob.ec">karina.barrera@ambiente.gob.ec</a>   |
| Mexico   | Pilar Salazar    | <a href="mailto:pilar.salazar@inecc.gob.mx">pilar.salazar@inecc.gob.mx</a>           |
|          | Janette Frausto  | <a href="mailto:janette.frausto@inecc.gob.mx">janette.frausto@inecc.gob.mx</a>       |
|          | Ana Martinez     | <a href="mailto:ana.martinez@inecc.gob.mx">ana.martinez@inecc.gob.mx</a>             |
| Peru     | Margoth Espinoza | <a href="mailto:mespinoza@minam.gob.pe">mespinoza@minam.gob.pe</a>                   |

Source: Authors' elaboration

The instrument used for the interviews with the focal points of each country was a questionnaire (See Annex 3.2) focusing on the motivations for participating in the Enhanced Transparency Framework and the BTR scheme: the political context, institutional arrangements and governance; technical and capacity aspects; and additional questions on the recommendations, needs and good practices carried out by the countries under analysis.



### 3. Analysis of the Level of Understanding of the BTR Requirements

This section shows an analysis of the current level of understanding of the technical teams of the PA member countries and Ecuador with respect to the BTR requirements. For this purpose, the results of the virtual survey based on the "BTR Guidance and Roadmap Tool" of the PATPA were considered; and bilateral interviews with each of the technical teams of the PA countries and Ecuador.

Taking the information from each country's survey results, the self-diagnostic tool "BTR Guidance and Roadmap Tool" was used, which generates a Roadmap for the BTR preparation process based on capacity-building, implementation and other estimated timeframes for the implementation of the political commitment, establishment of a BTR coordination team, management and agreements on the content of the BTR, gap analysis and institutional arrangements.

As a first step, the resulting Roadmap is "unrevised", as the timeframes indicated are based both on FAO and GIZ experience in projects related to MRV and transparency, and on the outcome of the questions related to the human resources involved in the process.

In a second step, countries can indicate the timeframes required according to their internal analysis, these are the "Revised Roadmaps", all timeframes can be modified with the exception for the timeframes for establishing the context of the BTR (political commitment, coordination team and content of the BTR), as the timeframes are set by the tool and cannot be modified by the user. As this is a self-diagnostic tool, the focal points in each country have defined the times according to their internal criteria, so it is not possible to know with certainty whether they are affected by the availability of resources, agreements on process and content, information management or other activities. In addition, although capacity-building and collection periods run concurrently, country technical teams have generally considered capacity-building periods to be longer than collection periods, with the criteria of retaining national capacity, improving the quality of subsequent reports and achieving the next BTRs in a shorter time. This leads to a delay in the submission of the first BTR.



This section shows the Roadmap information for each of the countries and uses the following colour coding:

**Legend:**

|  |   |
|--|---|
|  | Total time  |
|  | Capacity-Building Time  |
|  | Collection/application time   |
|  | Other (estimated time for implementation of political commitment, establishment of BTR coordination team, management and agreements on the content of the BTR, gap analysis and institutional arrangements) |




In contrast to the survey, which sought to establish a Roadmap for the submission of the BTR for each of the PA countries and Ecuador, the aim of the interview was to reflect on what the best BTR they could deliver by the deadline would look like, and to explore in more depth the motivations and level of progress of the BTR in each of the PA countries and Ecuador in terms of strategy and planning. Under this approach, bilateral interviews were conducted with the 5 focal points on the dates detailed in Annex 2<sup>7</sup>.

Based on the results of the interviews, the answers obtained in the online survey were revised and deepened. Tables 8 and 9 show the comparison of country responses for each section required in the BTR. Table 8 frames political commitment, institutional arrangements and NDCs based on the interviews and shows that at the beginning of the RTB preparation process it is mainly influenced by the budget factor, as most countries do not have a budget yet or are in the process of obtaining one. On the other hand, table 9 shows information on the sections referring to the BTR chapters based on the interviews and shows that the inclusion of the voluntary sections is still under evaluation. In both tables, the inclusion of non-mandatory components is marked as *to be confirmed*. The focal points noted that the decision on whether to include them will be made as the development of other national documents and access to information progresses<sup>8</sup>. Tables 8 and 9 use the following colour coding:

<sup>7</sup> Due to time issues, the interviews with Colombia and Chile were not completed, so partial results have been used.

<sup>8</sup> Tracking will be carried out in the framework of the Capacity-Building Workshop, using the tracking matrix submitted in point 4.2 as input.

**Legend:**

|   |                 |
|---|-----------------|
|  | Yes             |
|  | No              |
|  | To be confirmed |

This section shows an analysis of the level of understanding of BTR requirements by country, considering the results of these summary tables from the interviews and the survey. As a first conclusion, it has been identified that the main capacity-building needs are focused on the NGHGI preparation process, the monitoring and implementation of NDCs, adaptation policies and the reporting process on support received and needed.



Table 8. Revised online survey results for political commitment, institutional arrangements and NDCs sections based on interviews.

| Category                   | Question  | Country 1  | Country 2  | Country 3  | Country 4  | Country 5  |  |
|----------------------------|---|--|--|--|--|--|--|
| Introduction               | What country are you representing?  | Chile  | Ecuador  | Mexico   | Colombia   | Peru   |  |
|                            | When will the process for the preparation of the BTR begin?                                     | 1/12/2022  | 6/1/2023   | 6/1/2023   | 4/11/2023  | 1/3/2024   |  |
| Political Commitment       | Is there an established process to request/allocate a budget in the preparation of your BTR?    | Yes<br>(from FAO, not GEF)   | In progress  | In progress  | No   | No   |  |
|                            | Has a ministry/institution been assigned for the coordination of the overall BTR process?       | Yes<br>(MMA)   | Yes<br>(MINAM)   | Yes<br>(INECC)   | Yes<br>(IDEAM)   | Yes<br>(MINAM)   |  |
|                            | Has a BTR coordination team been appointed?   | Appointment in progress  | Appointment in progress  | Yes  | No   | No   |  |
|                            | What non-mandatory components should you consider, or have you already decided to address?      | Information related to climate change impacts and adaptation (to be confirmed) | Information related to climate change impacts and adaptation (to be confirmed) | Information related to climate change impacts and adaptation (to be confirmed) | Information related to climate change impacts and adaptation (to be confirmed) | Information related to climate change impacts and adaptation (to be confirmed) | Information related to climate change impacts and adaptation (to be confirmed) |
|                            |   | Information on support needed and received                                     | Information on support needed and received                                     | Information on support needed and received (to be confirmed)                   | Information on support needed and received (to be confirmed)                   | Information on support needed and received (to be confirmed)                   |  |
|                            |   | REDD+ Annex (to be confirmed)  | REDD+ Annex  | REDD+ Annex (to be confirmed)  | REDD+ Annex (to be confirmed)  | REDD+ Annex (to be confirmed)  |  |
| None                       |   |  |  |  |  |  |  |
| Institutional Arrangements | Did you identify relevant institutions and do you hold regular coordination meetings with them? | Yes  | Yes  | Yes  | Yes  | Yes  |  |
|                            | Are there agreements in place to share data and information?                                    | For all or most of them  | Only for some of them  | Only for some of them  | Only for some of them  | Only for some of them  |  |
| NDC                        | What kind of goal does the NDC have?  | Baseline or BAU/pathway goals  | Base year goals  | Mitigation actions   | Baseline or BAU/pathway goals  | Baseline or BAU/pathway goals  |  |

Source: Authors' elaboration

Table 9. Revised online survey results in the BTR chapter sections based on interviews

| Category                    | Question  | Country 1 | Country 2   | Country 3   | Country 4   | Country 5   |
|-----------------------------|---|-----------|---|---|---|---|
| Introduction                | What country are you representing?  | Chile     | Ecuador   | Mexico  | Colombia  | Peru  |
| GHG inventory               | Have you recently collected a GHGI?   | Yes       | No (GHGI up to 2018)                                | No (GHGI up to 2019)                                | No (GHGI up to 2018)                                | No (GHGI up to 2019)                                |
|                             | Have you retained the capacity to prepare a GHGI?   | Yes       | Partially   | Partially   | Partially   | Yes   |
| NDC Tracking                | Have you already defined progress indicators for all NDC goals?   | Yes       | Yes   | No  | Partially   | No  |
|                             | Do you intend to estimate the impacts of mitigation actions?  | Yes       | No, flexibility should be applied                   | Yes   | Yes   | Yes   |
|                             | Will you include projections of GHG emissions and removals?   | Yes       | No, flexibility should be applied (to be confirmed) | No, flexibility should be applied (to be confirmed) | No, flexibility should be applied (to be confirmed) | No, flexibility should be applied (to be confirmed) |
| Adaptation                  | Have you previously submitted a communication on Adaptation?  | Yes       | Yes   | No  | Yes   | No  |
|                             | Do you have a National Adaptation Plan (NAP) or a National Adaptation Strategy/Policy?                            | Yes       | Yes   | Yes   | Yes   | Yes   |
|                             | Have you retained capacities to track the implementation of the NAP, NDCs and Adaptation strategies and policies? | Yes       | Partially   | No  | Partially   | Partially   |
| Support received and needed | Have you previously reported on the support needed and received?  | Yes       | Yes   | Yes   | Yes   | Yes   |
|                             | Have you retained the capacities to report on support?  | Yes       | Partially   | Yes   | Partially   | Partially   |
| REDD+ Annex                 | Have you previously reported the technical annex on results-based actions under REDD+?                            | Yes       | Yes   | Yes   | Yes   | No  |
|                             | Have you retained the capacities to prepare the technical annex?  | Yes       | Yes   | Yes   | Partially   | No  |

Source: Authors' elaboration

### 3.1. Chile

In the case of Chile, within the revised Roadmap (See Figure 1), the deadlines for data collection are presented in a short period of 6 months, while for capacity-building related to NGHGI, impacts of mitigation actions, projections and the REDD+ Annex, the longest deadlines between 6-24 months are considered. According to the deadlines of this revised Roadmap, Chile's first BTR would be finished in November 2026, almost two years after the deadline established for the official submission of the BTR (31 December 2024).

On the contrary, according to the unrevised Roadmap (See Figure 2), which takes the deadlines according to the tool's criteria, the BTR could be ready in August 2025. This is a shorter deadline than in the revised Roadmap, but still represents a delay of 8 months compared to the BTR submission deadline. It should be noted that Chile did not consider applying flexibility for any section when completing the survey, so the time estimated by the tool included all sections of the BTR, compared to the other countries that considered applying flexibility in one or more requirements of the BTR.

According to Chile's focal point, the timelines for political commitment, establishment of a BTR coordination team, management and agreement on the content of the BTR, gap analysis and institutional arrangements are approximately 1-2 months from December 2022, when the BTR preparatory activities started. These timelines have been established on the basis that the country has strong political commitments, reflected in an established budget for the preparation of the BTR, which has been approved since early 2022 through the FAO. In addition, during the interview with the focal point, it was stated that the Ministry of the Environment of Chile (MMA) is in charge of coordinating the BTR process, with Richard Martinez appointed in June as the coordinator of the first BTR of Chile. However, they are only partially aware of the extent to which their current transparency system covers BTR requirements.

For capacity-building, the unrevised Roadmap shows timeframes of less than 4 months, while the revised Roadmap shows timeframes of 6-24 months. This shows that although Chile is the most capable country, it still considers that it needs more time for capacity-building, possibly because it recognises that capacity-building is a pillar that allows laying the foundations for producing future versions of the BTR in a faster way, with higher quality and greater impact, using a participatory approach. Similarly, the focal point mentioned that there are two issues that still concern them: the tabular formats, as there is a lack of cross-referencing with the spreadsheets they use, and that the agricultural inventory team is weak; therefore, they consider that there is a lack of trained staff.

For mitigation purposes, the focal point noted in the interview that these have not been previously estimated and that the capacity to estimate such impacts is not available.

In terms of collection times, the unrevised Roadmap shows much longer times, with the longest being for a period of 12 months, corresponding to the development of NGHGI; and 9 months for projections, while the revised Roadmap shows times of 6 months for both items. It is therefore clear that the conditions for the collection of information are in place. This is confirmed by the interview. It was stated that there are agreements in place to share data and information. It also details that it has retained the technical capacity to produce a NGHGI using the 2006 IPCC Guidelines, applying Quality Assurance/Quality Control (QA/QC) procedures and estimating uncertainty. At the time of the interview, Chile was in the process of formalising the team in charge of implementing the NGHGI, so they could meet the deadlines set in their revised Roadmap if they update their inventory by 2022.

In addition, during the interview, the focal point indicated that the content of the BTR has been defined at 50%, and in relation to the voluntary sections, the support received will be included, while regarding the REDD+ Annex and Adaptation sections, they are still under evaluation to determine their inclusion in communications prior to the development of the BTR. Regarding the specific contents of the BTR, for NGHGI, it was detailed that a work plan is already in place, and they are in the data collection stage. Regarding mitigation, planning is still underway, but they have defined the content to be included. Regarding the tracking of NDCs, there are currently no institutional arrangements for this, but it is envisaged that there will be with the implementation of the law, and they indicate that it will depend primarily on NGHGI and information from CONAF (National Forestry Corporation).

In this context, the following has been noted regarding the level of progress in the preparation of the BTR in Chile:

- Chile identifies capacity-building needs in the development of NGHGI, the impacts of mitigation actions and the filling of tabular formats. These needs are required in order to lay a foundation for a faster and more participatory preparation of its BTR.





Figure 1. Revised Roadmap for Chile's Biennial Transparency Report (BTR)

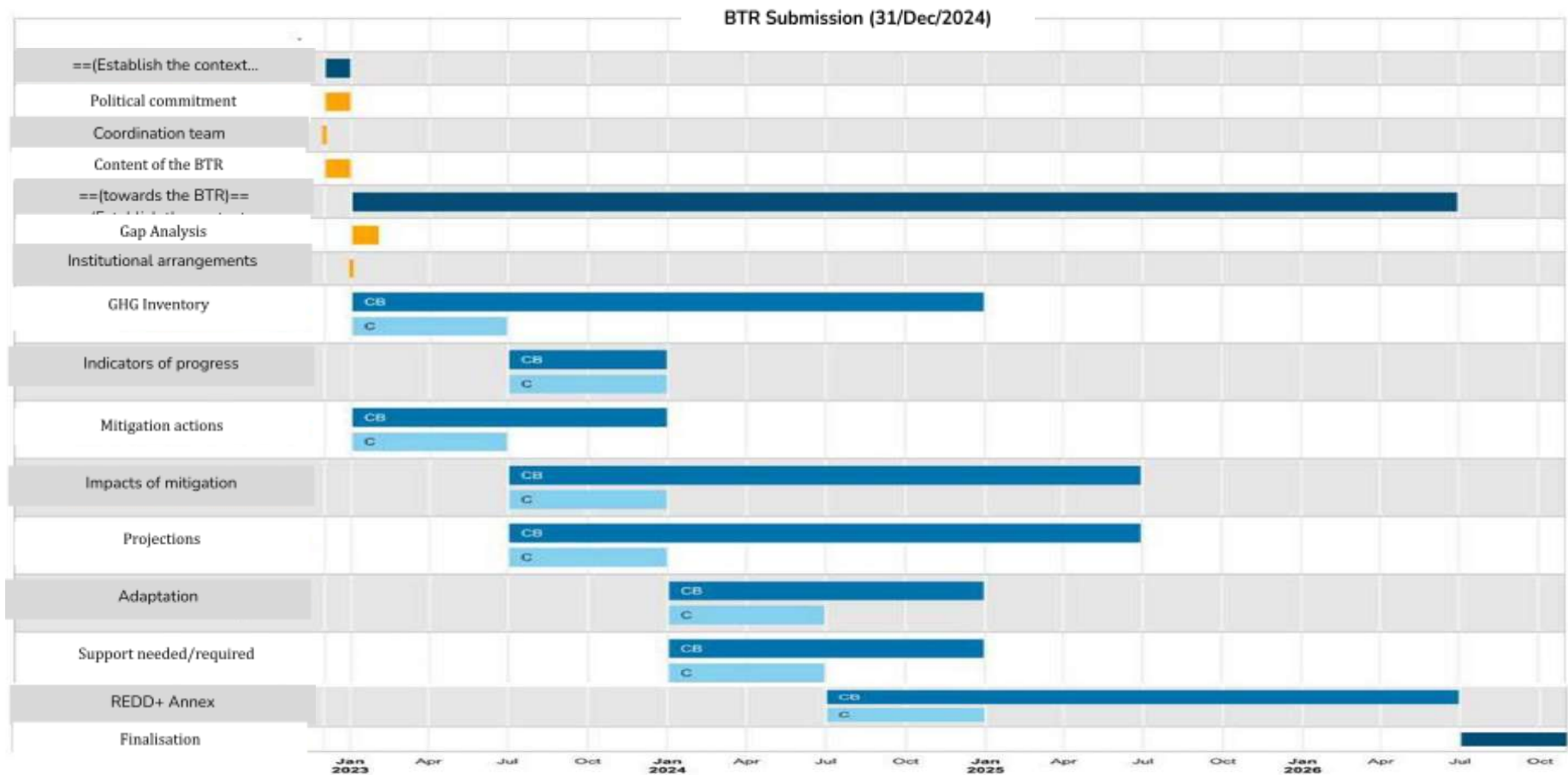
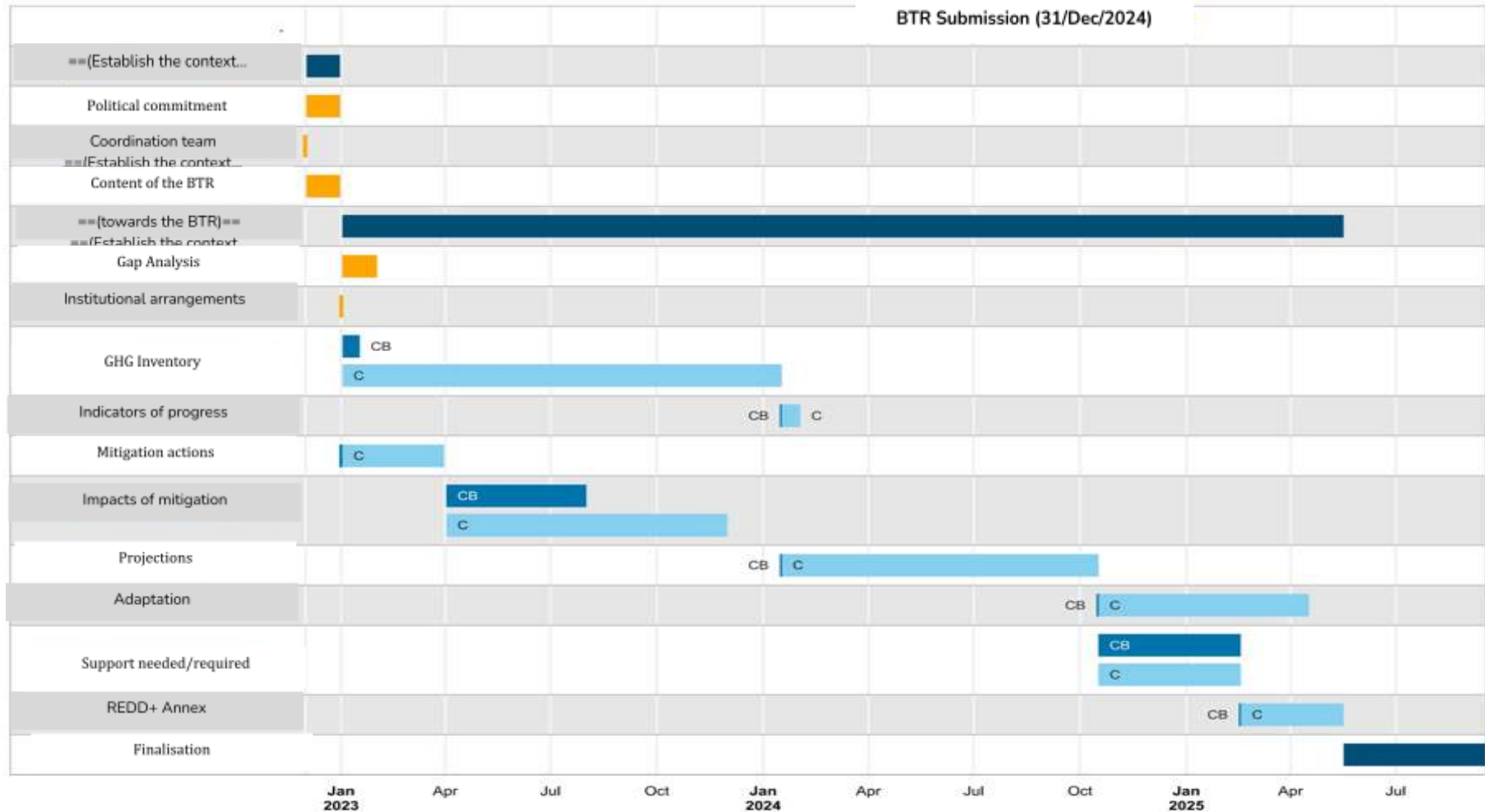


Figure 2. Unrevised Roadmap for Chile's Biennial Transparency Report (BTR)



### 3.2. Colombia

In the case of Colombia, the deadlines for data collection in the revised Roadmap (see Figure 3) are presented in terms of 6-12 months, while for capacity-building related to the content of BTR, the longest deadlines of 6-18 months are considered. According to the deadlines of this revised Roadmap, Colombia's first BTR would be ready in August 2027, almost three years after the deadline established for the official submission of the BTR.

On the contrary, according to the unrevised Roadmap (see Figure 4), the BTR could be ready in March 2025, considering that the tool adjusted the deadline because Colombia's Focal Point mentioned that they would apply flexibility to GHG emissions and removal projections. This is a shorter deadline than in the revised Roadmap but still represents a delay of 3 months compared to the BTR submission deadline.

Regarding the timeframe for establishing the context of the BTR, an approximate deadline of 2-3 months was obtained. During the interview with Colombia's focal point, a high priority for climate change in the country was stated but emphasising a need for stronger institutional arrangements for more continuous processes. This is reflected in the following aspects:

- a) The assigned BTR coordination team is not yet in place.
- b) The scope of the MPG sections to be considered has not been mapped.
- c) Although Colombia already has a selected budget implementing agency, no financial resources have yet been requested for the preparation of its first BTR.

For capacity-building, the unrevised Roadmap shows timeframes of 3 months or less, while the revised Roadmap shows timeframes between 6-18 months. This shows that Colombia considers that it requires more time for capacity-building than those indicated by the tool's criteria. This is particularly noticeable in the NGHGI section, where IDEAM, the institute in charge of preparing the inventories in Colombia, has not prepared a recent NGHGI and has only partially retained the capacity by keeping part of the technical team for its preparation and for applying the QA/QC procedures, which is why the time intended for capacity-building is longer than in other sections.

In terms of collection times, the unrevised Roadmap shows much longer timeframes, with the longest being for a period of 11 months corresponding to the development of NGHGI and 7 months for adaptation, while the revised Roadmap shows timeframes of 12 months for both items. Both Roadmaps have similar timeframes and it is clear that the conditions for collecting information are in place, although the interview did not specify whether they were in the process of updating their inventory.

In this context, the following has been noted regarding the level of progress in the preparation of the BTR in Colombia:

- There is a gap of strong institutional arrangements for the preparation of BTRs. According to the information provided, neither human nor financial resources have been identified, as they do not have a coordination team, nor have they requested financial resources. In addition, those voluntary sections that could be included have not yet been defined. Without adequate preparation of human and financial resources, BTR preparation timeframes will be much longer, and the deadline will not be met.
- There is a gap in capacity-building, particularly for the development of the NGHGI, the monitoring of the implementation of the National Adaptation Plan and the NDCs. In addition, according to the results of the survey, capacities to report support received and needed and the preparation of the REDD+ annex have been partially retained. This need could be met by learning about the NGHGI common reporting and the process of filling out the NDC tracking tabular formats to identify the information needed and what specific capacities are needed to settle on.



Figure 3. Revised Roadmap for Colombia's Biennial Transparency Report (BTR)

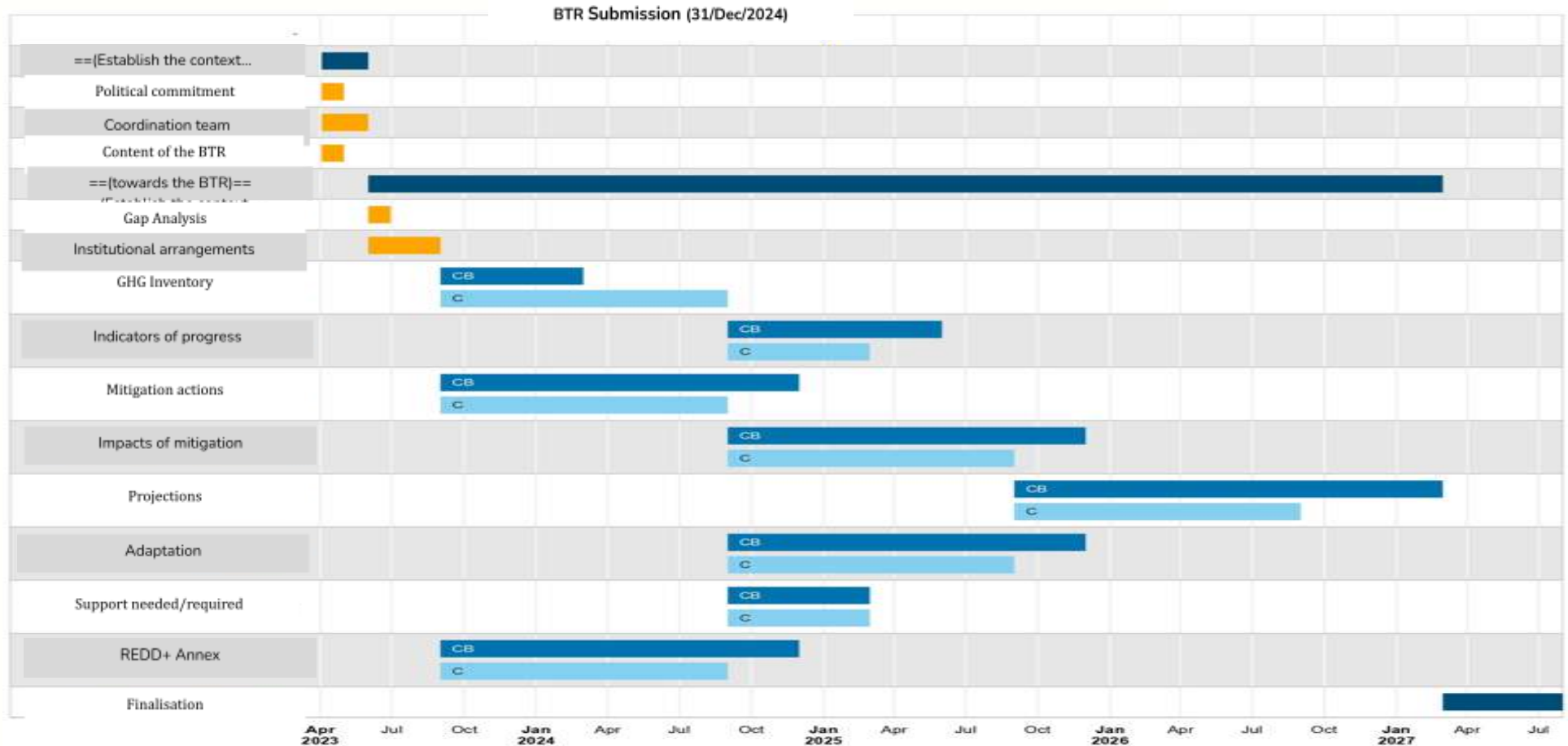
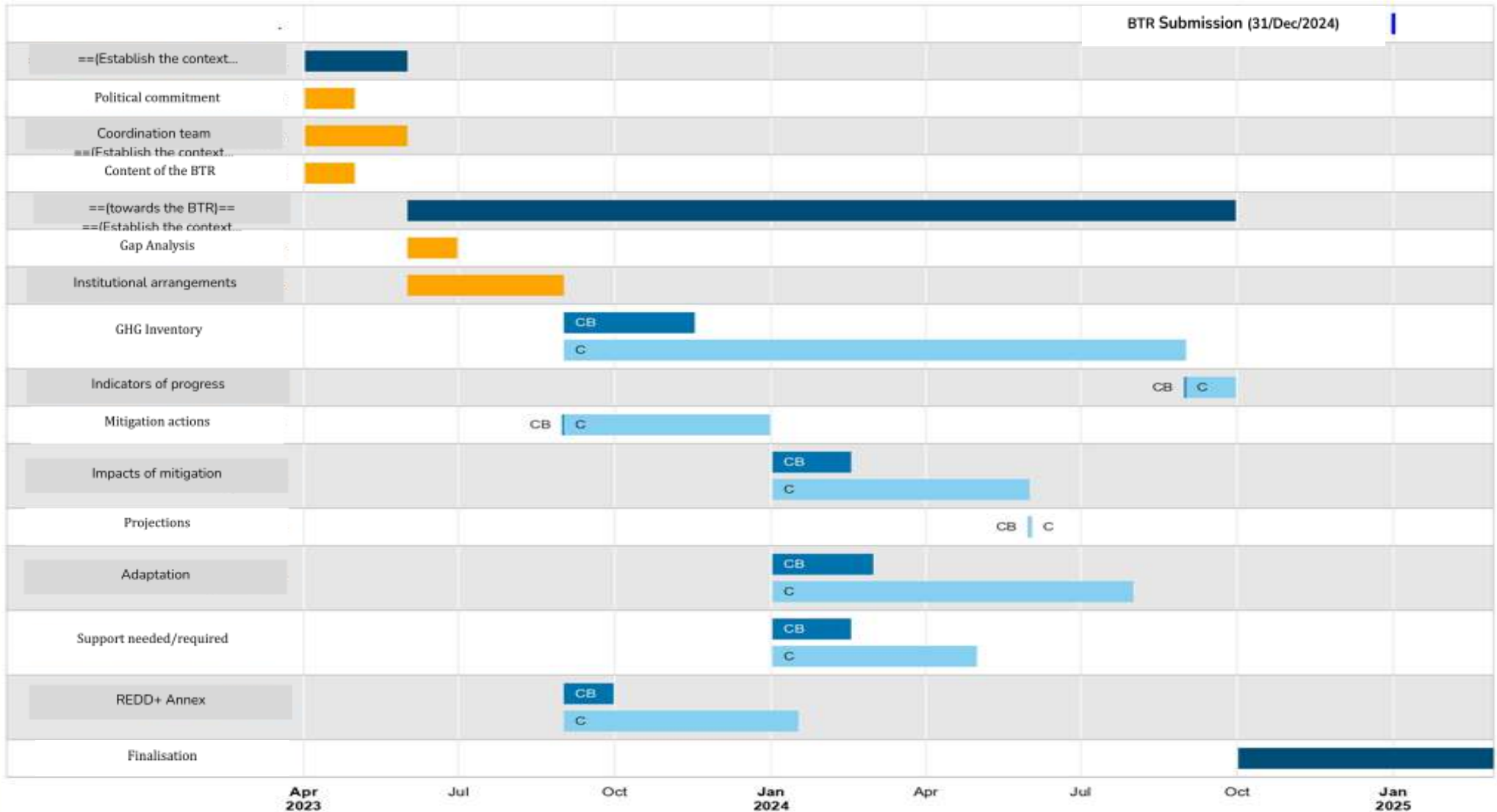


Figure 4. Unrevised Roadmap for Colombia's Biennial Transparency Report (BTR)



### 3.3. Ecuador

For its part, Ecuador did not set specific deadlines for capacity-building or for data collection needed for the development of its first BTR, for this reason only the unrevised Roadmap was obtained (see Figure 5), which considers the application of flexibility in certain requirements that will be explained in the following paragraphs. Despite these considerations, the result is that Ecuador's first BTR would be ready in February 2027.

In terms of capacity-building, much shorter timeframes of a maximum of 4 months are noted, focusing on issues related to NGHGI and capacity-building to inform the support needed and required. Regarding the latter, the interview indicated that Ecuador has the UNDP methodology to identify, track and report on support needed and received. In addition, with the support of multilateral funds, they have developed other methodologies to track the support received and needed and have also established alliances with the Ministry of Economy and Finance to obtain that information. To complement this, a National Climate Finance Strategy was presented a few years ago, which also aims at providing tools for reporting on financing needs. However, Ecuador's focal point stated that one of its main needs is to estimate the funding received, and that the capacity-building of the team in charge of preparing the BTR would focus on that issue.

The Roadmap shows that Ecuador would have data collection timeframes of 3-24 months, considering flexibility for the inclusion of QA/QC procedure in the NGHGI, estimation of the impacts of mitigation actions and projections of GHG emissions and removals in the NDCs tracking. The tool considered a deadline of 24 months for data collection required for the NGHGI. In this regard, the Ecuador's focal point indicated that a team will be hired to move forward with the updating of the inventories for 2019, 2020 and 2021, so they could meet the established deadlines.

For financing, a deadline of 4 months was set for collection, the main concern being to obtain the data and disaggregate it (what it is, where it comes from, what is its %, whether it is concessional or not). Having all the specific information required in the BTR tables is a challenge for Ecuador, as indicated in the interview.

In addition, the focal point indicated during the interview that the aim is to include the non-mandatory sections, but it will depend on the level of information that needs to be collected. They are currently working on their 5th NC and 1st BTR, for which they have limited time, but they are already familiar with the processes and their limitations, which is why they believe that "many issues of the BTR that are voluntary have been done before and they will certainly be able to work on them now".



Regarding NDC tracking, they are currently working on the development of a national climate change registry platform, which automatically tracks the progress of NDCs with information and documentation from different areas at the government level. This will allow them to cover all the information needed for communications and for the BTRs.

Finally, it was noted that the interpretation of flexibility is not as clear for Ecuador because it is not easy to collect the information required by the MPG, which includes the presentation of a timetable showing the estimated deadlines for the implementation of improvements.

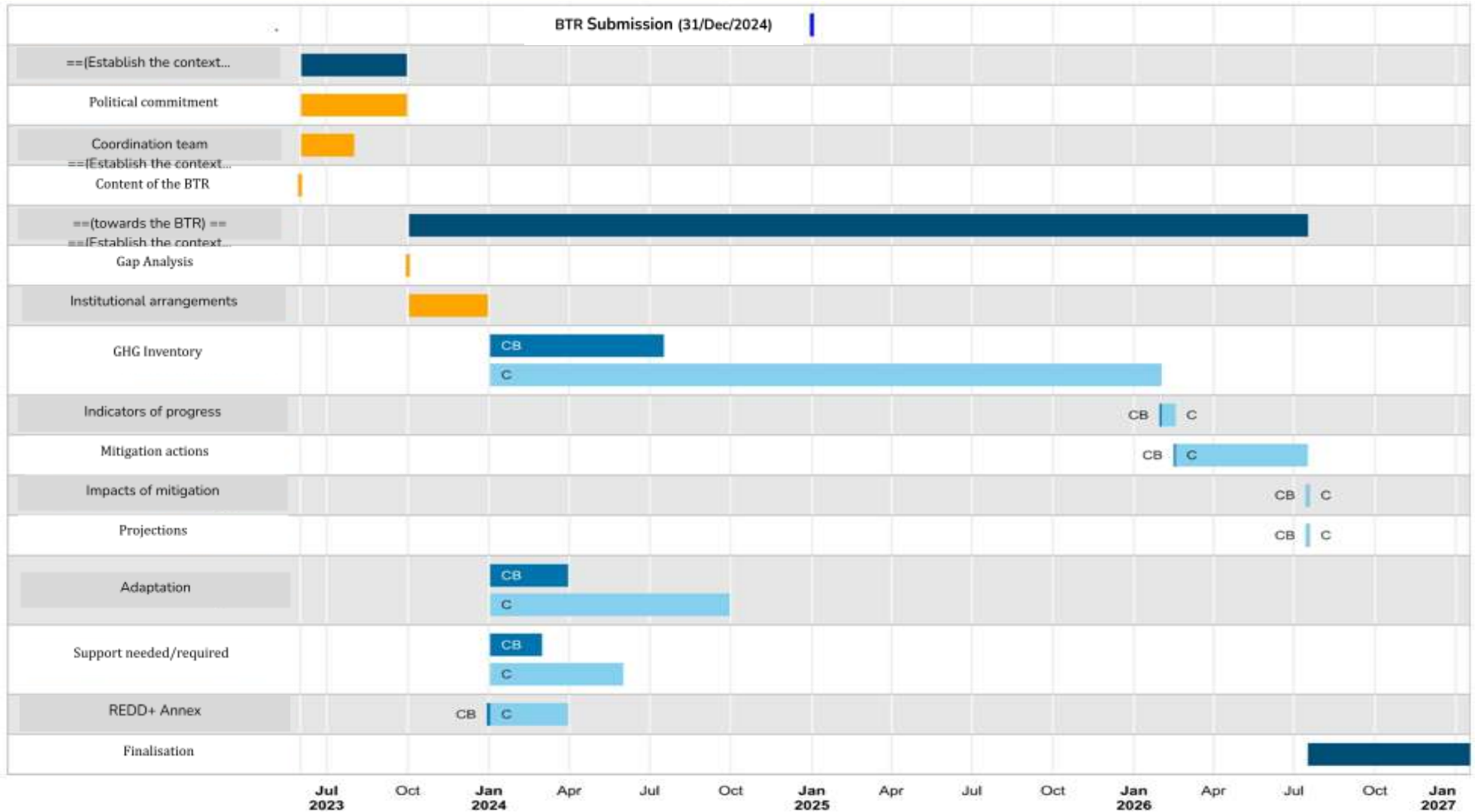
In this context, the following has been identified regarding the level of progress in the preparation of the BTR in Ecuador:

- There is a gap in capacity-building, particularly for developing tabular formats, interpreting MPGs, justifying flexibility and obtaining disaggregated funding information. In addition, according to the survey results, the capacity to collect relevant data describing mitigation actions and projections of GHG emissions and removals has been partially retained in the tracking of NDCs; the tracking of the implementation of the NAP, NDC and adaptation strategies and policies; and the support received and needed. Without adequate technical capacities the information cannot be developed within the deadlines set for the submission of the BTR.





Figure 5. Unrevised Roadmap for Ecuador's Biennial Transparency Report (BTR)



### 3.4. Mexico

In turn, within the revised Roadmap, Mexico would have deadlines of 2 to 3 months for both data collection and capacity-building. This is because in the survey the focal point considered the application of flexibility in the three voluntary sections and in the GHG projections, an answer that was further explained and clarified in the interview, as the inclusion of these sections is not a decision made yet but is still to be confirmed. All this led to the tool informing the result that Mexico's first BTR would be ready in November 2024, one month before the deadline established for the submission of said report (see Figure 6).

On the contrary, according to the unrevised Roadmap (See Figure 7), which takes the deadlines according to the tool's criteria, the BTR could be ready in May 2026. This is a much longer deadline than the revised Roadmap, which would mean a delay of 17 months compared to the BTR submission deadline (31 December 2024).

According to Mexico's focal point, the timeframes for political commitment, establishment of a BTR coordination team, management and agreements on the content of the BTR, gap analysis and institutional arrangements are approximately 2 months from June 2023, when the BTR preparatory activities started. These deadlines have been established based on the fact that the country has an institution (INECC) and a team in charge of coordinating the general BTR process.

In terms of capacity-building, the unrevised Roadmap shows timeframes of 6 months, while the revised Roadmap shows timeframes of around 3 months. This shows that Mexico considers that it requires less time for capacity-building than those indicated by the tool's criteria. However, in the interview, the focal point pointed out that these timeframes were considered as they have other responsibilities in addition to the preparation of the BTR. Regarding indicators of progress, the focal point noted in the interview that it was difficult to identify them. Regarding mitigation effects, the focal point stated in the interview that no progress has been made and that it is not known whether they have the capacities to estimate such effects.

In terms of collection timeframes, the unrevised Roadmap shows much longer timeframes, with the longest timeframe for a period of 10 months for NGHGI development and 6 months for mitigation effects; while the revised Roadmap shows timeframes of 4 and 2 months, respectively for both items. It is therefore clear that the conditions for data collection are in place. However, this was not confirmed by the interview as it was stated that there are no data and information sharing arrangements in place. Regarding the technical capacity to prepare an NGHGI, they have explained that they have retained the

technical capacity to prepare an NGHGI as they have a consolidated team that has been preparing them for several years, but the survey found that they have only partially retained the capacities.

In addition, during the interview, the focal point indicated that they have information related to the voluntary adaptation sections and the REDD+ annex, but it is still under evaluation to define its inclusion in the BTR. Regarding the support needed and received, the focal point pointed out that they have a system to report on support, however, it only includes information from some sectors and not all of them. In addition, the financial instrument and the source of funding have not yet been determined. Regarding the specific content of the BTR for NGHGI and the NDCs tracking, it was explained that a work plan is already in place and awaiting approval by the Inter-Ministerial Commission on Climate Change.

In this context, the following has been identified regarding the level of progress in the preparation of the BTR in Mexico:

- There is a gap in capacity-building, in particular to define indicators of progress for all their NDC targets, the impact of mitigation actions, to track the implementation of the NAP and adaptation strategies and policies, and to map the climate finance offer (national and international sources). The gap in indicators of progress for NDCs can be partially filled by exploring the process of completing the NDC tracking tabular formats and using a standard format as a guide.



Figure 6. Revised Roadmap for Mexico's Biennial Transparency Report (BTR)

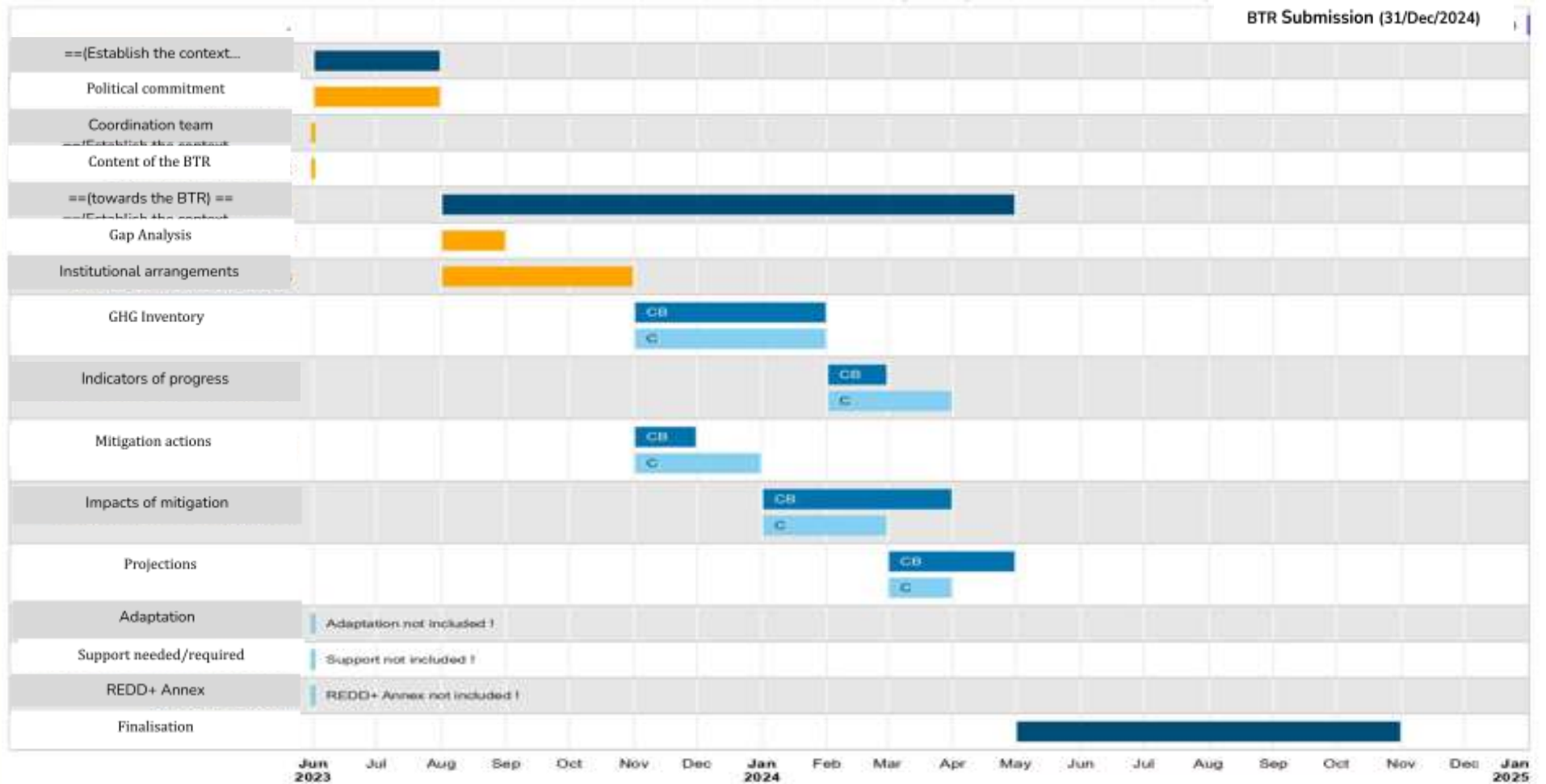
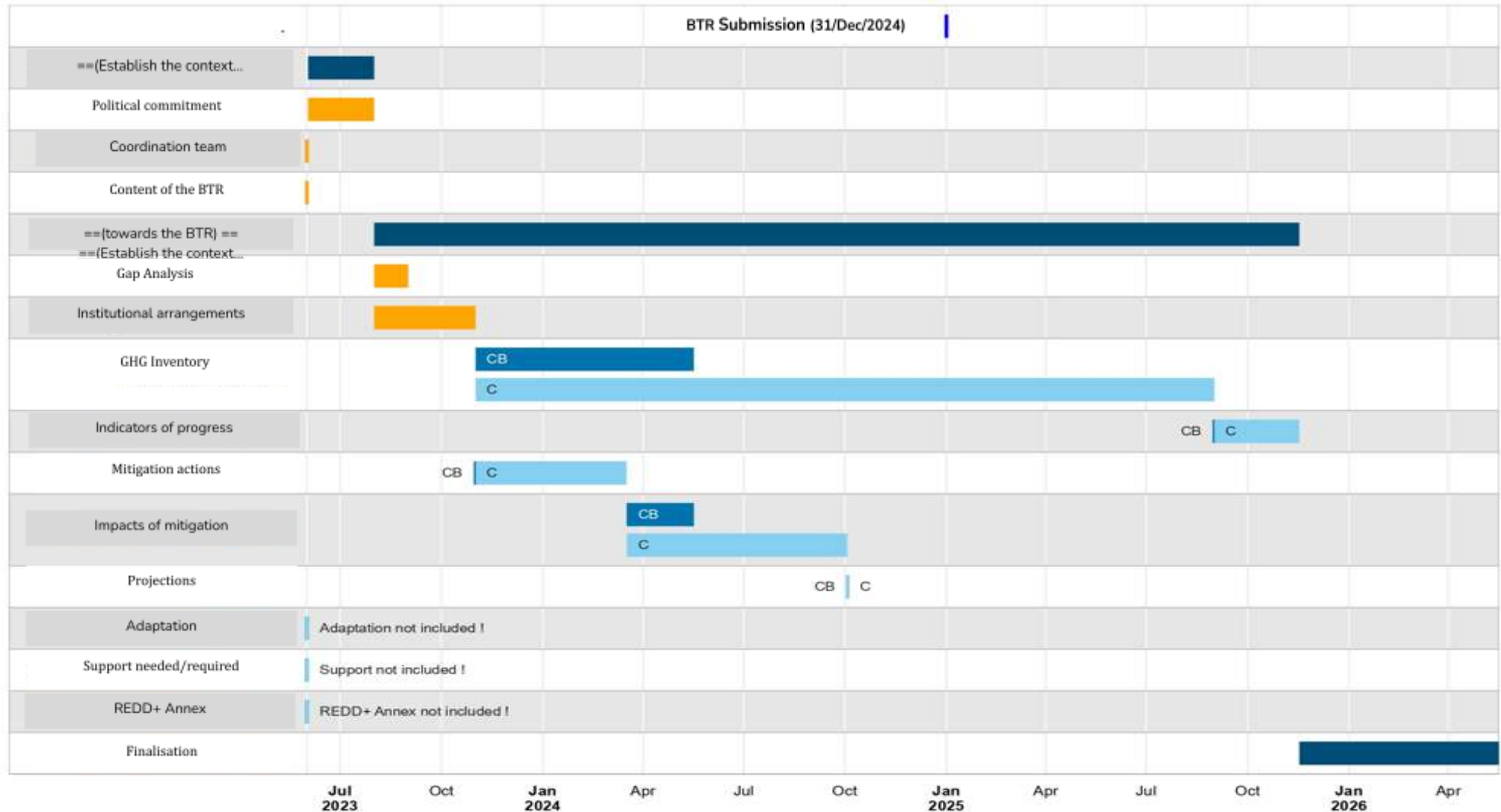


Figure 7. Unrevised Roadmap for Mexico's Biennial Transparency Report (BTR)



### 3.5. Peru

In Peru's revised Roadmap (see Figure 8), the deadlines for data collection are set at 24 months, while the deadlines for capacity-building are set at 12 months. According to the deadlines of this revised Roadmap, Peru's first BTR would be ready in October 2029, almost five years after the deadline set for the official submission of the BTR (31 December 2024). It should be stressed that Peru's survey responses considered the inclusion of all non-mandatory components, although this was clarified later in the interview. Similarly, the flexibility of GHG projections in the NDC tracking has been also considered for the Roadmap.

On the contrary, according to the unrevised Roadmap (see Figure 9), which takes the deadlines according to the tool's criteria, the BTR could be ready in August 2026. A period shorter than in the revised Roadmap, but it still represents a delay of almost 2 years compared to the BTR submission deadline.

According to Peru's focal point, the timeframes for political commitment, establishment of a BTR coordination team, management and agreement on the content of the BTR, gap analysis and institutional arrangements are approximately 1 month from January 2024, when the BTR preparatory activities are planned to start. The interview clarified that January 2024 is a formal date, that they are currently preparing other reports looking at needs and information gaps in preparation for the BTR, and that there is a delay due to funding, which they will apply for under the GEF framework in early 2024. The one-month deadline has been set because the country has made strong political commitments and important progress on regulatory issues such as the Framework Law on Climate Change.

In terms of the capacity-building timeframe, the unrevised Roadmap shows timeframes of less than 3 months, while the revised Roadmap shows times of 24 months. It was argued in the interview that the filling in of the tables and the information on the use of flexibility were areas where the capacity of the team responsible for developing the BTR needed to be strengthened. It was indicated that this year they will request support from CBIT-GSP to develop a work plan focused on BTR.

In terms of collection timeframes, the unrevised Roadmap shows timeframes of up to 12 months corresponding to the development of NGHGI and 9 months for adaptation, while the revised Roadmap shows timeframes of 12 months for both items. Therefore, it should be noted that the adaptation issue requires additional time to the one established by the tool for collecting data.

Regarding the development of NGHGI, the interview indicated that agreements are in place to prepare inventories related to Infocarbono, which is part of the Ministry of the Environment. In addition, it was indicated that they are in the process of developing their 2021 and 2022 NGHGI and that the team in charge of the inventories is aware of the requirements and guidelines, so that they could be able to meet the deadlines set out in their revised Roadmap if they update their inventory by 2022.

In addition, during the interview, the focal point indicated that the content of the BTR has not yet been defined and, in relation to the voluntary sections, they are still under evaluation to determine their inclusion in communications prior to the development of the BTR.

In this context, the following has been identified regarding the level of progress in the preparation of the BTR in Peru:

- While there is a political commitment to prepare the BTR, the country shall consider appointing an overall coordination team for the first report. There is a need for a focused BTR work plan and a strong coordination team with a legally backed mandate and clear roles, which will help ensure efficient submission of BTR.
- There is a gap in capacity-building, particularly to fill in the tables and information to apply flexibility and to establish progress indicators for all their NDC targets. Without adequate technical capacity, the information cannot be produced within the deadlines set for the submission of the BTR.



Figure 8. Revised Roadmap for Peru's Biennial Transparency Report (BTR)

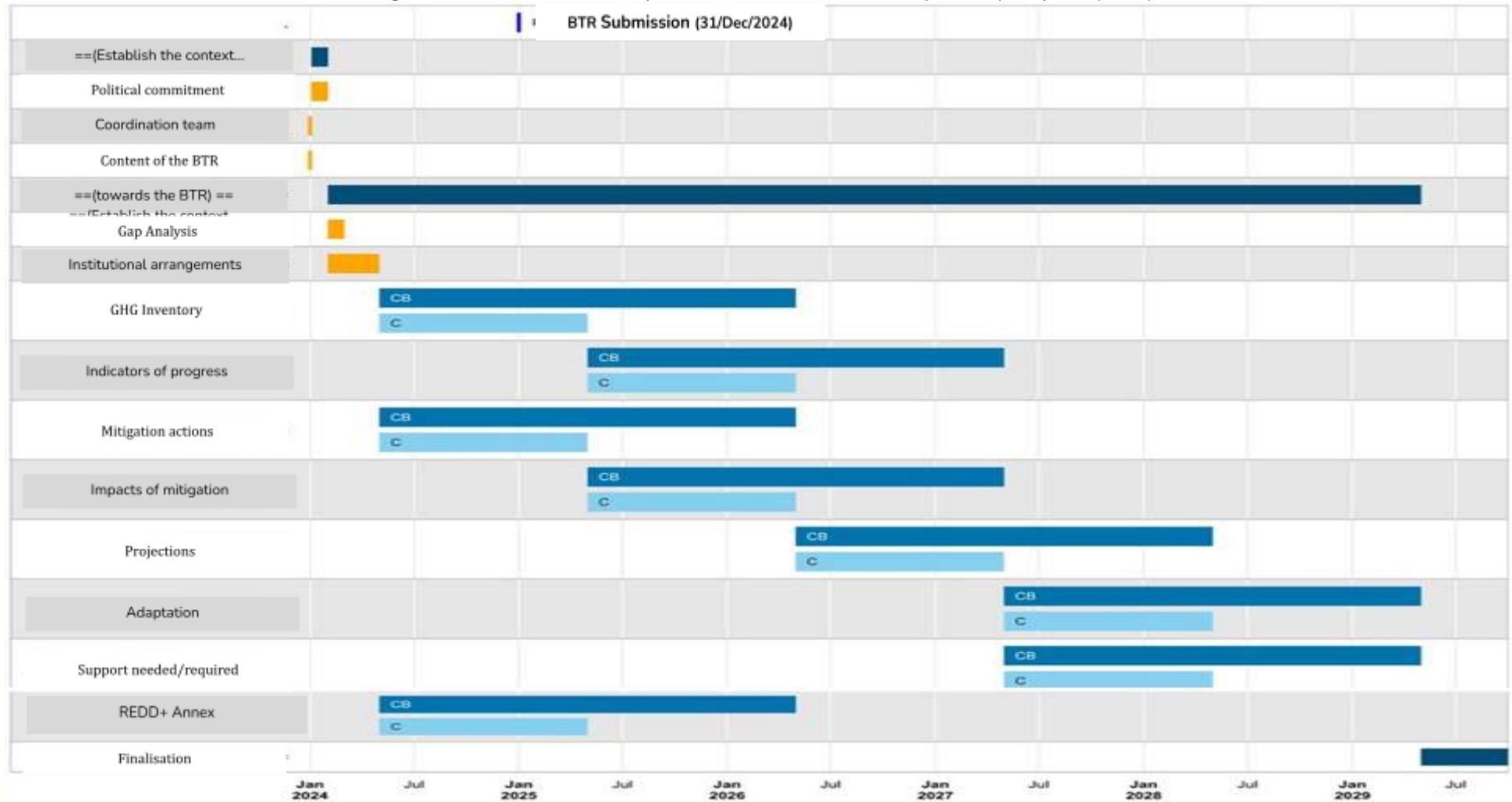
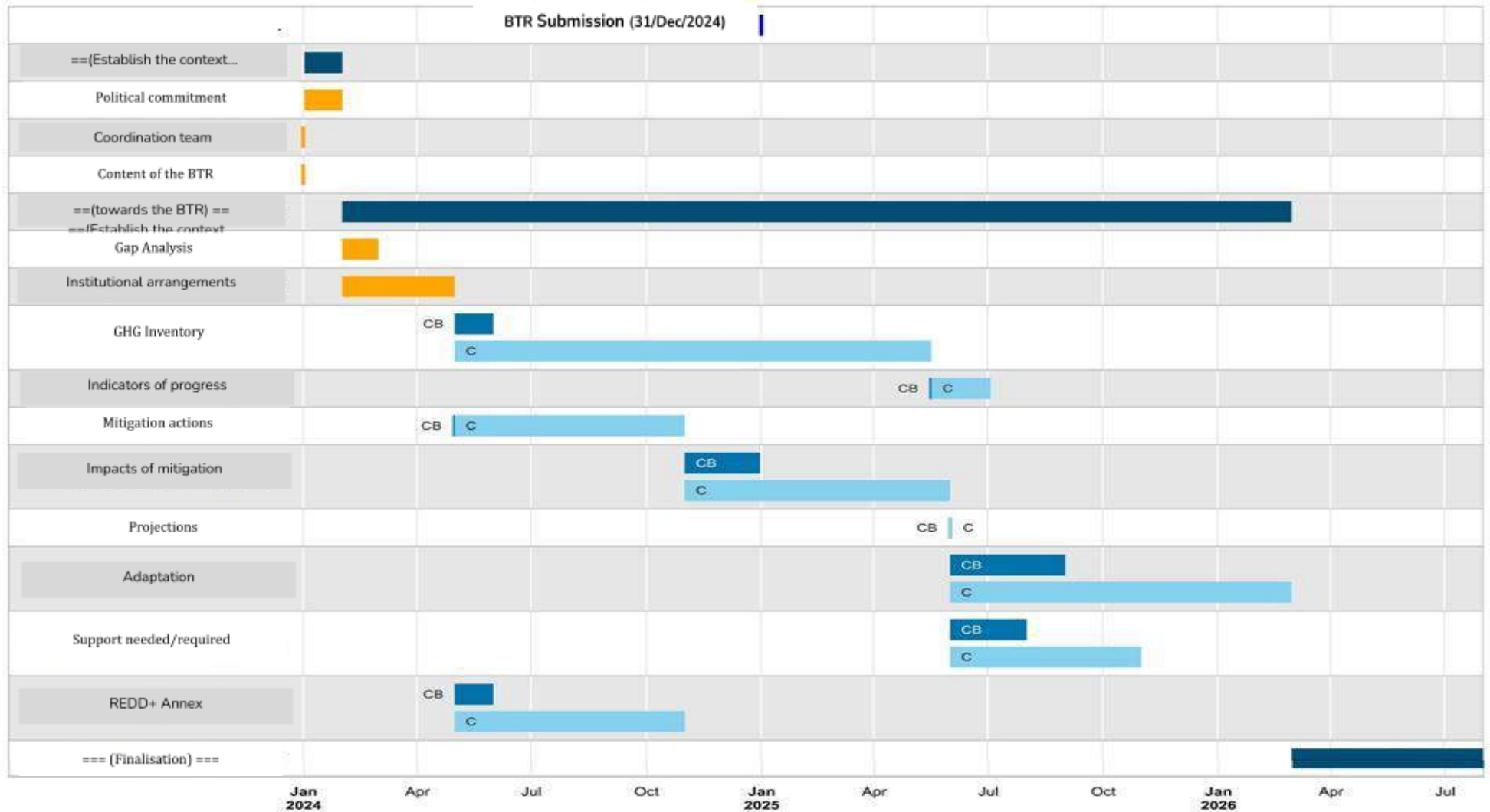




Figure 9. Unrevised Roadmap for Peru's Biennial Transparency Report (BTR)



### 3.6. Joint Analysis

Following the analysis carried out for each of the PA countries and Ecuador, it can be noted that the main cause of delay for most countries (with the exception of Mexico, which would submit the BTR on time according to its revised Roadmap due to the application of flexibility in most sections) would be related to the time needed for capacity-building of the professionals in charge of preparing the inputs for the submission of the first BTR. It can be concluded that by strengthening these national capacities and maintaining them in the different ministries, not only would subsequent reports be produced in less time, but also the quality of the information in the national reports would gradually improve.

Political commitment has a positive impact on the effectiveness of the overall BTR process, making it easier to secure the institutional and financial support needed to sustain the collection process. However, in terms of institutional arrangements, although all countries in the study have identified relevant institutions, there are still no formally established data and information sharing arrangements or designated teams to prepare the BTR.

On the other hand, regarding the sections relating to the BTR chapters (see Table 4), of all the countries in the study, Chile presents greater clarity and retained capacities on the sections, as detailed in Section 3.1.

Table 10 shows the main capacity-building needs for each country according to the main sections of the BTR, as well as those indicated that they would apply flexibility (highlighted in purple). It is noted that the main training needs focus on the impacts of mitigation actions, development of GHG projections, tracking of NAPs, filling in tabular formats and application of flexibility.

However, as countries are in the process of deciding whether to apply flexibility for some sections, Libélula arrives at the conclusion that capacity-building for this first BTR should focus on indicators of progress for NDC tracking, filling in tabular formats, flexibility and the supply of climate finance.

It should be noted that these needs are presented in a general way, as each section has not been specifically addressed to obtain the particular details of each country's needs. However, it is expected that the session on co-designing the capacity-building workshop with the focal points will provide a higher level of specificity than the obtained, particularly for Chile and Colombia.



**Table 10. Main Capacity-Building Needs**

| Capacity-Building Needs/Countries                      | Chile | Colombia | Ecuador | Mexico | Peru |
|--|-------|----------|---------|--------|------|
| NGHGI Development                                      |       | x        | x       | x      |      |
| Impacts of mitigation actions                          | x     | x        | x       | x      | x    |
| Preparation of GHG projections                         |       | x        | x       | x      | x    |
| REDD+ Annex  |       | x        |         |        | x    |
| Tracking of the NAP                                    |       | x        | x       | x      | x    |
| Formulation of indicators of progress for NDC tracking |       | x        |         | x      | x    |
| Filling in tabular formats                             | x     | x        | x       | x      | x    |
| Justification for flexibility                          | x     | x        | x       | x      | x    |
| Interpretation of MPGs                                 |       |          | x       |        |      |
| Climate finance supply                                 |       | x        | x       |        | x    |

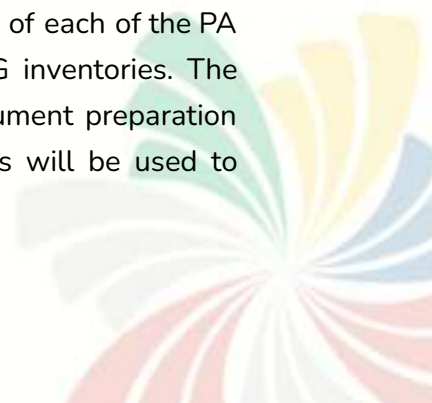
Source: Authors' elaboration

## 4. Gap Analysis Between pre-Paris Agreement and Paris Agreement Requirements

This chapter provides an analysis of the information currently collected by PA members and Ecuador and the information required for the BTR. In addition, in order to understand the gaps in the requirements, a comparative matrix between the reporting requirements of the UNFCCC, the Kyoto Protocol, and the Paris Agreement is presented in Annex 4, as well as a comparison for each section of the BTR and the pre-Paris Agreement national reporting sections.

### 4.1. Comparison of Information Reported by Countries and what is Required by the BTR

The consultancy team conducted an analysis of the pre-Paris documents of each of the PA countries and Ecuador, including the NDC, the NC, the BUR and GHG inventories. The information already collected in each country during the pre-Paris document preparation process is presented below for each required chapter of the BTR. This will be used to



identify the gaps identified by each country. For further details, a table comparing each country's progress and each chapter of the BTR is provided in the [link](#) below.

In general terms, it is worth noting that Chile is one of the few countries in the region to have produced five Biennial Update Reports (BURs) within the required timeframe. The 5BUR has been prepared in line with the commitments made under the Paris Agreement and considering the requirements for the first Biennial Transparency Report in 2024. From the above, it is concluded that Chile has up-to-date information and high capacities for the preparation of the BTR and could easily comply with a future AP standard. For Mexico and Colombia, both countries submitted their 3BUR in 2022, while Ecuador recently submitted its 4NC and 2BUR. These updated national reports allow focal points to identify methodological improvements in order to move closer to the BTR guidelines. Although Peru has not recently submitted a national report, it is developing and updating several national documents (3BUR, 4NC, 2021 and 2022 NGHGI), which will be published soon and will serve as input for its first BTR. Finally, all the countries studied, with the exception of Chile, have yet to update their NGHGIs for 2020 and 2021 (or otherwise to structure a common argument to explain the application of flexibility).

#### 4.1.1. Chile

Table 12 shows the information that Chile currently has according to each section of the BTR. The analysis highlights that the use of the common tables required by the MPG could be an issue of concern. In addition, in terms of NDC tracking, estimating the impacts of mitigation actions is a matter of concern given that Chile's NDC approach is to target cumulative emissions by 2050. Therefore, the filling in of the CTF for NDC tracking would be a matter of concern.

**Table 12. Comparison of the information collected by Chile and the BTR requirements**

|                 | Requirements        | Chile  |
|-----------------|---------------------|--|
| General Context | Framework Agreement | Its latest National Communication (4NC) was submitted in 2021, its latest Biennial Update Report (5BUR) in 2022 and its latest National GHG Inventory (NIR) in 2023, covering the 1990-2020 series. In addition, they plan to submit their Fifth National Communication in 2023. |

|                                   | Requirements   | Chile   |
|-----------------------------------|--|---|
| Measuring GHG emissions and sinks | National circumstances and institutional arrangements                                | Considering the requirements of this sub-section (national entity/ focal point, inventory preparation process, archiving of information for time series, inventory approval process), information on the Chilean National Greenhouse Gas Inventory System (SNICHILE) can be found in its 5BUR, which contains the institutional arrangements, legal and procedural set-up for the periodic and continuous updating and collection of its NGHGI. It also details the methodology and main sources of information used to obtain the resources for the preparation of the 7th NIR (1990-2020 series), which was carried out in accordance with the 2006 IPCC Guidelines, as well as information on the operation of SNICHILE, the updating of Chile's NGHGI, the quality assurance and control system, the creation and maintenance of capacities, and archiving and communication, so as to meet the BTR requirements. |
|                                   | Summary of GHG emissions and removals  | As mentioned in the previous section, Chile has submitted its 7th NIR (1990-2020) and is also in the data collection phase for the 1990-2022 NIR. However, Richard Martinez informed the consultancy team that the use of the tabular formats required by the MPG could be a matter of concern.   |
| NDC                               | National circumstances and institutional arrangements                                | To date, Chile does not have any institutional arrangements for NDC tracking, but it is keeping the climate discussion as a priority issue, as it published the Framework Law on Climate Change in June 2022, which aims at achieving GHG emission neutrality by 2050 at the latest, along with increased resilience.   |
|                                   | Description of the NDC   | An annex to strengthen the 2020 NDC was published in 2022, adding specific information on methane mitigation and emission reductions. In terms of adaptation, the NDC states that by 2025, climate change risk assessments will be carried out for vulnerable groups in the country, with a special focus on indigenous peoples, poverty and gender (Government of Chile, 2020). It should be noted that, by strengthening its NDC, Chile has made significant progress and improved its CAT rating for current policies and actions, according to the Climate Action Tracker. In addition, both the 5BUR and Chile's 2020 NDC provide projections of GHG emissions. In general, it could be said that the country has the technical capacity to collect the information required by the BTR.   |
|                                   | Information needed to track progress made (including the use of indicators achieved) |   |
|                                   | Projections of GHG emissions and removals  | An important and new aspect of the BTR is the implementation of tracking and progress indicators, which Chile has already carried out for all indicators for the 2021-2022 period. The main concern of the NDC would be the estimation of the impact of mitigation actions, as the focus of Chile's NDC is on cumulative emissions targets by 2050.   |

|                                       | Requirements   | Chile   |
|---------------------------------------|--|---|
|                                       | Mitigation policies and measures, actions and plans, including those with mitigation co-benefits resulting from adaptation measures and economic diversification plans, related to the implementation and achievement of the NDC |   |
| Adaptation                            | Adaptation   | It is not certain whether the voluntary section on "Climate Change Impacts and Adaptation" will be included; this will be discussed depending on whether it is included in their next NCs, which are currently being worked on. However, in the interview with Chile, the focal point stated that they are quite advanced on adaptation issues, the main challenge being to work with national capacities. Evidence of their progress on adaptation includes the Sectoral Adaptation Plans, which have existed since 2013; the National Climate Change Adaptation Plan (PNACC) since 2014; the climate change targets included in their NDC with specific contributions to the adaptation component, their ECLP in 2021, and their first Communication on Adaptation published in 2022, which takes a forward-looking approach and focuses on providing information on priorities, implementation needs and support for adaptation. |
| Support received, needed and provided | Information on financial support needed and received   | This voluntary section is considered to be presented in the first BTR of Chile, since it has been reported in its 5BUR and the relevant capacities have been retained to continue reporting on the support received and needed in subsequent reports.   |
|                                       | Information on technology development and transfer support needed and received   |   |
|                                       | Information on capacity-building support needed and received   |   |
|                                       | Information on support needed and received by developing countries for report preparation  |   |
|                                       | Information on any support provided  |   |

|       | Requirements | Chile   |
|-------|--------------|---|
| REDD+ | REDD+ Annex  | Chile has a REDD+ Annex for 2019, and the BTR does not request new sections or information related to the REDD+ Annex submitted under the BURs. The REDD+ annex they already have can be submitted for the BTR. |

Source: Authors' elaboration

### 4.1.2. Ecuador

Table 13 shows Ecuador's current information according to each section of the BTR. This analysis highlights that in terms of the NGHGI, a more updated time series will be required, at least by 2020. Regarding the NDCs, Ecuador has submitted GHG emission projections; however, it is mentioned that they could use flexibility to submit GHG emissions and removals if they fail to validate their long-term mitigation plan, which includes a baseline scenario (GHG projection). Therefore, conducting a capacity-building exercise to complete the CTF of the NDC could strengthen the team's capacities and shorten the preparation of the BTR requirements. Regarding support received, needed and provided, the structure is not yet in place, but work has been done with key stakeholders from whom funding information is awaited. To this end, building capacity to complete the relevant CTFs would be important.

**Table 13. Comparison of the information collected by Ecuador and the BTR requirements.**

|                 | Requirements        | Ecuador   |
|-----------------|---------------------|---|
| General Context | Framework Agreement | Between 2022 and 2023, Ecuador submitted a joint report on its Fourth National Communication (4NC) and its Second Biennial Update Report (2BUR). Both national reports were prepared in accordance with the guidelines of the Convention (guidelines detailed in Decision 2/CP.17, Annex III and Decision 17/CP.8) and the principle of transparency set out in the Paris Agreement. The reports include data for the 2016-2020 period on the country's national circumstances, the 2018 National Greenhouse Gas Inventory (NGHGI), mitigation and adaptation measures and actions, barriers and needs related to climate change management, and climate finance received and needed, among other relevant information. Its latest National GHG Inventory (NIR) was submitted for the 1994 - 2018 time series and with the 2018 reference year. |



|                                   | Requirements  | Ecuador   |
|-----------------------------------|---|---|
| Measuring GHG emissions and sinks | National circumstances and institutional arrangements | <p>The most recent NIR submitted provides general information on national circumstances and information on institutional arrangements for all requirements requested in the BTR, i.e. the national entity or focal point in charge of the inventory (Ministry of Environment, Water and Ecological Transition (MAATE) through the Sub secretariat of Climate Change (SCC)/Directorate of Climate Change Mitigation (DMCC)) and the supporting legal framework (Organic Environmental Code (COA)) and its inventory preparation process through the National Greenhouse Gas Inventory System, linked to the virtual platform established for the National Climate Change Registry, the archiving of information for the time series and the inventory approval process as part of its quality assurance, quality control and verification processes.</p>   |
|                                   | Summary of GHG emissions and removals                 | <p>To compare emissions and removals of each GHG, the most recent NIR used the equivalence called Global Warming Potential (GWP) in its Fourth Assessment Report (AR4), which is based on the effects of GHGs over a 100-year time horizon; however, the BTR calls for values from the Fifth Assessment Report (AR5) to be used, creating an information gap.</p> <p>On the other hand, the most recent inventory was carried out under the provisions of the 2006 IPCC guidelines, as requested by the BTR. The gases considered were carbon dioxide (CO<sub>2</sub>), methane (CH<sub>4</sub>), nitrous oxide (N<sub>2</sub>O), halocarbons (HFC), perfluorocarbons (PFC) and sulphur hexafluoride (SF<sub>6</sub>), carbon monoxide (CO), nitrogen oxides (NO<sub>x</sub>), non-methane volatile organic compounds (NMVOCs) and sulphur dioxide (SO<sub>2</sub>), which covers the BTR requirements.</p> <p>Regarding the inventory time series, the BTR states that the latest year to be reported should be no more than two years, with flexibility to three years, prior to the date of submission of your national inventory report. This means a more recent time series is required to submit the BTR, at least up to 2020. As far as possible, updating the GHG inventory should be done with national capacities.</p> |





|            | Requirements   | Ecuador   |
|------------|--|---|
| NDC        | National circumstances and institutional arrangements  | <p>In its 4BUR, Ecuador mentions that the country aims at integrating the final design of the national MRV system into the National Climate Change Registry (RNCC) to monitor the implementation of the National Climate Change Strategy (NCCS), the National Climate Change Financing Strategy (NCCFS), the Nationally Determined Contributions (NDCs) and other national policy and planning instruments related to climate change.</p> <p>To date, Ecuador already has an RNCC in place to provide public access to national climate change information generated in the country, including NDC tracking. To input data into this register -in terms of institutional arrangements needed to collect the data- informative workshops were held on the process; however, no direct contact was made with the stakeholders.</p> <p>Regarding the national circumstances, according to the interview with the country's focal points, the aim is to update the information with the help of other institutions (Military Geographical Institute, Institute of Statistics and Censuses, etc.). Still, one limitation is the disbursement of funds.</p> |
|            | Description of the NDC   | Ecuador has a 1NDC submitted in 2019, covering the 2020-2025 time series, which includes a general estimate of the investment required to implement the commitments set out in the NDC, including initiatives promoted by the private sector. In May 2021, the Government of Ecuador launched the First NDC Implementation Plan, which guides the implementation of mitigation and adaptation actions in the priority sectors of the 2012-2025 National Climate Change Strategy. Ecuador's 2BUR/4NC and 1NDC include GHG emission projections; however, the country mentions that they could apply flexibility to submit GHG emissions and removals if they fail to validate their long-term mitigation plan, which includes a baseline scenario (GHG projection). In general, we could say that the country has the technical capacity to collect the data required by the BTR; however, the inclusion of some sub-sections remains to be confirmed.   |
|            | Information needed to track progress made (including the use of indicators achieved)   |   |
|            | Projections of GHG emissions and removals  |   |
| Adaptation | Mitigation policies and measures, actions and plans, including those with mitigation co-benefits resulting from adaptation measures and economic diversification plans, related to the implementation and achievement of the NDC | <p>An important and novel topic in the BTR is the implementation of tracking and progress indicators. In Ecuador, mitigation actions have tracking (depending on the type of initiative and sector) and impact indicators (reduction of GHG emissions).</p> <p>Ecuador is currently starting the preparation of the 2 NDC for the 2026-2035 period.</p>   |
|            | Adaptation   | In the 4BUR, Ecuador reports on its progress in adaptation, including methodologies, indicators, policies, capacity-building programmes and other useful tools to reduce vulnerability and climate risks in priority sectors for adaptation. The country also has a National Climate Change Adaptation Plan (NAP) submitted in 2023. In addition, according to the interview, the country   |

|                                       | Requirements  | Ecuador  |
|---------------------------------------|---|--|
|                                       |   | will start implementing a project on the governance model, losses and damages, among other issues that may be reported in the future.  |
| Support received, needed and provided | Information on financial support needed and received                                      | <p>This voluntary section is considered to be presented in Ecuador's first BTR since it has been reported in its 4NC/2BUR, and the relevant capacities have been partially retained to continue reporting on the support received and needed in subsequent reports. The national MRV system will provide input for the development of the BTR but not for the issue of financing, as this part still needs to be structured. However, they have already worked with the key stakeholders (the Ministry of Foreign Affairs, the Ministry of Economy and Finance and the National Planning Secretariat) and expect to have funding information.</p> <p>It should be noted that Ecuador has a 2021-2030 National Climate Finance Strategy (NCFS), which aims to guide the access, management, allocation and effective and efficient mobilisation of international, national, public and private climate funding to support national and international climate change objectives.</p> |
|                                       | Information on technology development and transfer support needed and received            |  |
|                                       | Information on capacity-building support needed and received                              |  |
|                                       | Information on support needed and received by developing countries for report preparation |  |
|                                       | Information on any support provided   |  |
| REDD+                                 | REDD+ Annex   | Ecuador provided information on the REDD+ Annex in its 1BUR (2016). Its 2BUR and 4NC also mention the progress made in this context, such as the 2016-2025 REDD+ Action Plan Forests for Good Living (PA REDD+) and the signing of its first REDD+ Payment for Results Cooperation Agreement. It is worth mentioning that the BTR does not request new sections or information regarding the REDD+ annex submitted under the framework of BURs; however, the information in this annex may be updated in the light of the country's progress in reducing deforestation.  |

Source: Authors' elaboration

### 4.1.3. Peru

Table 14 shows Peru's current information according to each section of the BTR. This analysis highlights that in terms of NGHGI, Peru is starting the 2021 and 2022 NGHGI, the first of which will be published together with the Fourth National Communication, and the 2022 NGHGI will be published in the first BTR at the end of 2024. In addition, regarding NDC tracking, a gap was identified in establishing indicators of progress per sector for all NDC targets and collecting relevant data describing mitigation actions. Similarly, concerning



projections of GHG emissions and removals, Peru expects to apply flexibility as they are not sure if they can include them, but they have already submitted projections in the past; therefore, it is concluded that there is a need for capacity-building or reinforcing methodologies worked on in previous processes. In this sense, building capacities to fill in the CTFs for NDC tracking would be essential. Similarly, the support needed and received has been previously reported, but the capacities to continue reporting on this support have not yet been retained. Therefore, the capacity-building to complete the relevant CTFs would be important. Finally, Peru has yet to submit the REDD+ Annex; however, there is a possibility that it will be included in their first BTR, as they are considering including it in their 3BUR.

**Table 14. Comparison of the information collected by Peru and the BTR requirements.**

|                                   | Requirements  | Peru  |
|-----------------------------------|---|---|
| General Context                   | Framework Agreement                                   | Peru's Third National Communication (3NC) was submitted in 2016, while the Second Biennial Update Report (2BUR) was published in 2019. Although the reports are perceived to be more outdated than in the other countries, it is worth noting that the interviewees reported that they are in the process of preparing their 3rd BUR and 4NC. They are also addressing various topics that will be included in the BTR.   |
| Measuring GHG emissions and sinks | National circumstances and institutional arrangements | Peru's second NGHGI (2000-2019 series) has recently been published on the INFOCARBONO website. The INFOCARBONO is the national institutional arrangement for planning, preparation and management of the NGHGI, as well as a mitigation MRV tool of the System for Monitoring Adaptation and Mitigation Actions, all of which are detailed in the Regulation of the Framework Law on Climate Change (LMCC), in addition to the specific responsibilities of the institutions involved in the preparation of the inventory.  |
|                                   | Summary of GHG emissions and removals                 | In this latest NGHGI update, the 2006 IPCC guidelines have been applied, reporting on the main GHGs: carbon dioxide (CO <sub>2</sub> ), methane (CH <sub>4</sub> ), nitrous oxide (N <sub>2</sub> O), hydrofluorocarbons (HFCs), and the idea is to continue to include the other gases. In communication with Margoth Espinoza - Clean Development Mechanism and Carbon Market Specialist-Peru is starting the 2021 and 2022 NGHGI. The first one will be ready in the middle of next year and will be published with the Fourth National Communication, and the 2022 one will be published in the first BTR by the end of 2024. |



|     | Requirements   | Peru  |
|-----|--|---|
| NDC | National circumstances and institutional arrangements                                | <p>Peru does not have institutional arrangements for tracking and updating NDCs, but it does have a framework of coordinating bodies through the High-Level Commission on Climate Change (government) and the National Commission on Climate Change (which includes the civil society), where policy issues related to NDCs are shared. They also have a monitoring system which, according to the focal point, should be strengthened, as it plays an important role in providing alerts on the fulfilment of contributions, identifying bottlenecks and supporting decision-making, among other things.</p> <p>“Let’s talk about the NDC” (“Dialoguemos sobre las NDC” in Spanish) is a multi-sectoral, multi-level and multi-stakeholder participatory process that aims at contributing to the implementation and socialisation of NDC actions in the framework of the comprehensive climate change management, through continuous interaction that enables alliances and agreements between different stakeholders (MINAM, n.d.). This process allows for ongoing interaction to reach partnerships and agreements, as well as to identify the roles of the various key stakeholders (public sector, private sector, indigenous peoples, academia, international cooperation and civil society) for the implementation of the NDCs and their enabling conditions (MINAM, n.d.).</p> <p>It is worth noting that progress on climate policies in Peru has been slow due to the political turmoil the country has experienced in recent years, reflected in the constant turnover of the ministerial cabinet.</p> |
|     | Description of the NDC   | The second update of the NDCs was published in 2020. Still, the contribution was rated "insufficient" by the <i>Climate Action Tracker</i> , and it is suggested that such contribution be updated and, where possible, strengthened.   |
|     | Information needed to track progress made (including the use of indicators achieved) | Establishing of indicators of progress per sector for all NDC targets has been identified as a need, as has the collection of relevant data describing mitigation actions.  |
|     | Projections of GHG emissions and removals  | Projections of GHG emissions and removals are a detail in which Peru hopes to apply for flexibility as they are still determining if they can include it. However, they have submitted projections previously. Capacity-building or strengthening existing methodologies is a need.   |



|                                       | Requirements   | Peru   |
|---------------------------------------|--|--|
|                                       | Mitigation policies and measures, actions and plans, including those with mitigation co-benefits resulting from adaptation measures and economic diversification plans, related to the implementation and achievement of the NDC |  |
| Adaptation                            | Adaptation   | <p>It is not certain whether the voluntary section on "Climate Change Impacts and Adaptation" will be included; this will be discussed in the framework of the application for the GEF.</p> <p>Adaptation has not been previously communicated in another report. Still, the country does have a National Climate Change Adaptation Plan by 2050, which was approved in 2021 and allows the effective implementation of its NDCs, promoting an increase in resilience and sustainable development. In addition, it includes two new prioritised thematic areas: tourism and transport. This NAP is an input to the National Strategy on Climate Change by 2050 and serves as the basis for the voluntary section in the BTR.</p> |
| Support received, needed and provided | Information on financial support needed and received   | <p>As with projections of GHG emissions and removals, the support needed and received has been previously reported; however, the capacities to continue reporting on this support have not been retained. In addition, in the interview with the focal point, it was noted that progress will be published in the 3BUR, which may serve as input for the analysis in the BTR section.</p>  |
|                                       | Information on technology development and transfer support needed and received   |  |
|                                       | Information on capacity-building support needed and received   |  |
|                                       | Information on support needed and received by developing countries for report preparation  |  |
|                                       | Information on any support provided  |  |
| REDD+                                 | REDD+ Annex  | Peru has yet to submit the REDD+ Annex; however, it may be included in its first BTR since they are considering including it in their 3BUR.  |

Source: Authors' elaboration



#### 4.1.4. Colombia

Table 15 shows Colombia's current information according to each section of the BTR. This analysis highlights that in terms of INGEI, Colombia must update it to a more recent series. Regarding NDC tracking, Colombia is developing a platform that allows them to monitor the results of the NDCs and the reporting of their indicators, which would serve as an important input in preparing their BTR. It would also be suggested to strengthen the knowledge of the CTF in NDC tracking so that the requirements of these formats are included in the platform. For projections, from the answers obtained, we conclude that these will not be submitted, and flexibility will be applied, even though projections have been previously submitted. The same applies to the section on support received, where, despite having previously submitted it, the inclusion of this section in their BTR is still under discussion. Therefore, building capacities regarding the CTF of support received, needed and provided would be important.

**Table 15. Comparison of information collected by Colombia and the BTR requirements.**

|                                   | Requirements  | Colombia  |
|-----------------------------------|---|---|
| General Context                   | Framework Agreement                                   | Colombia has a third National Communication (3NC), submitted in 2017, and a third more recent Biennial Update Report (3BUR), submitted in 2022. In the latter, they found incidents and methodological improvements that allow them to get closer to the BTR guidelines.  |
| Measuring GHG emissions and sinks | National circumstances and institutional arrangements | The Institute of Hydrology, Meteorology and Environmental Studies (IDEAM), along with other entities, oversees the National GHG Inventory. The 1990-2018 series is the latest version published in 2022 together with its 3BUR. Additionally, an update of the 1990 – 2014 NGHGI was included; and for the first time, the results of the 2010 - 2018 Black Carbon Inventory were included.<br><br>The country has made significant progress in terms of public policy for climate change management, including the approval of the decree regulating the National Climate Change System (SISCLIMA); the draft of the National Climate Change Policy, in which INGEI was defined as part of the MRV System; the enactment of the Climate Change Law; and the publication of the MRV System's regulations. |



|     | Requirements   | Colombia  |
|-----|--|---|
|     | Summary of GHG Emissions and Removals  | The latest NGHGI describes the institutional arrangements, the process carried out for its preparation, the completeness and methodologies used for the calculation and the methodologies used for the uncertainty assessment and key category analysis. However, according to Decision 18/CMA.1 para. 58, for developing countries, the latest reporting year may be three years prior to the submission of their national inventory report. Therefore, it would be up to Colombia to update its NGHGI to a more recent series.  |
| NDC | National circumstances and institutional arrangements  | Within the framework of Law No. 2169-2021, the Implementation and Monitoring Plan was established where the NDC indicators are defined. In addition, the process of updating the last NDC was carried out within the framework of SISCLIMA.   |
|     | Description of the NDC   | In December 2020, Colombia submitted its updated Nationally Determined Contribution (NDC) and its 2050 Long-Term Climate Strategy in the framework of COP26, which together outline the country's climate action Roadmap to achieve the medium- and long-term goals set: a 51% reduction in emissions compared to the baseline scenario by 2030, and the country's carbon neutrality by 2050.   |
|     | Information needed to track progress made (including the use of indicators achieved)   |   |
|     | Projections of GHG Emissions and Removals  | The country has more than 100 measures in its NDC with a mitigation potential and others in adaptation, including sectoral, cross-sectoral and private actions, etc. All measures include requirements, activities, and indicators; however, not all of them are in the same state of progress; some are in the design stage, and others are under implementation. However, it is important to mention that they are developing a platform for tracking NDC results and reporting indicators, which would provide an important input for drafting their BTR.  |
|     | Mitigation policies and measures, actions and plans, including those with mitigation co-benefits resulting from adaptation measures and economic diversification plans, related to the implementation and achievement of the NDC | <p>In the case of projections, from the answers obtained we arrive at the conclusion that these will not be submitted, and flexibility will be applied, even though projections have been submitted previously.</p> <p>On the other hand, Colombia's NDC has been rated as "insufficient" according to Climate Action Tracker. Therefore, it is suggested that this contribution be updated and, to the extent possible, strengthened. Likewise, it is important and essential to strengthen and build national capacities in terms of NDC tracking (mitigation, impacts of mitigation actions, projections, among others).</p> |



|  | Requirements  | Colombia  |
|--|---|---|
| <b>Adaptation</b>                            | Adaptation  | <p>The inclusion of voluntary sections is still under review.</p> <p>In the case of adaptation, it has already been communicated previously, and the country has a National Climate Change Adaptation Plan (PNACC). The PNACC is one of the country's climate change strategies, which aims at reducing the impacts of climate change risk in Colombian populations and ecosystems. In addition, within the framework of the development of the PNACC, a strategy for disseminating actions for the territories -called Climate Action Tool (HaC in Spanish)- was developed and is currently being updated.</p> <p>In general, Colombia submits information to be included in this voluntary section.</p> |
| <b>Support received, needed and provided</b> | Information on financial support needed and received                                      | <p>The 3BUR provided information on the needs and international support received by Colombia for climate change management in the country in the areas of financing, capacity-building/strengthening and technology development/transfer for the 2018 – 2020 period. However, the inclusion of this section in its BTR is under discussion.</p>   |
|  | Information on technology development and transfer support needed and received            |   |
|  | Information on capacity-building support needed and received                              |   |
|  | Information on support needed and received by developing countries for report preparation |   |
|  | Information on any support provided   |   |
| <b>REDD+</b>                                 | REDD+ Annex   | <p>Colombia has a REDD+ Annex submitted in 2018 together with their 2BUR. It is worth mentioning that the BTR does not request new sections or information regarding the REDD+ annex submitted under the framework of BURs; however, the information in this annex may be updated in the light of the country's progress in reducing deforestation.</p> <p>According to the communications with Colombia's focal point, capacity-building is required in terms of the Warsaw Framework for REDD+.</p>   |

Source: Authors' elaboration





### 4.1.5. Mexico

Table 16 shows Mexico's current information according to each section of the BTR.. This analysis highlights that in terms of INGEI, Mexico must update it to a more recent series. Regarding the NDC tracking, adaptation measures covered in the NDCs include an economic assessment but do not include mitigation actions. However, they all incorporate indicators of progress. Based on this, strengthening the filling in of the CTFs of the NDC is identified as a need.

**Table 16. Comparison of information collected by Mexico and the BTR requirements.**

|                                   | Requirements  | Mexico  |
|-----------------------------------|---|---|
| General Context                   | Framework Agreement                                   | Mexico has a sixth National Communication (6NC) submitted in 2018 and a third more recent Biennial Update Report (3BUR) submitted in 2022. It also has updated its NDC in 2022.   |
| Measuring GHG emissions and sinks | National circumstances and institutional arrangements | In its latest BUR (3BUR), Mexico shows a solid section of general national circumstances and institutional arrangements with legal frameworks and climate change policy instruments at the three levels of government (federal, state, municipal) and at the national level, such as the National Emissions Registry, the National Risk Atlas, and the Climate Change Information System. Also, in the Inventory section, Mexico provides information related to the BTR requirements, such as the entity in charge (National Institute of Ecology and Climate Change), the process map for update and collection, the institutional arrangements, and the organizational structure for Inventory preparation.  |
|                                   | Summary of GHG Emissions and Removals                 | The 3BUR shows information from the Inventory of a 1990-2019 time series based on the methodologies and tools derived from the 2006 IPCC International Guidelines, which considers the emissions of CO <sub>2</sub> , CH <sub>4</sub> , N <sub>2</sub> O, HFC, PFC, NF <sub>3</sub> , SF <sub>6</sub> and black carbon based on the global warming potential of the AR5, and an uncertainty assessment and a Quality Management System (QMS) with international standards and comprising six micro-processes; so that the content of the BTR requirements would be covered. However, according to Decision 18/CMA.1 para. 58, for developing countries, the latest reporting year may be three years prior to the submission of their national inventory report. Therefore, it would be up to Mexico to update its INGEI to a more recent series. |
| NDC                               | National circumstances and institutional arrangements | The NDCs were last updated in 2022, and they include indicators of how much progress needs to be made by 2030. The adaptation actions covered in the NDCs include the economic assessment but do not include mitigation actions. However, all of them include indicators of progress.   |
|                                   | Description of the NDC                                |   |

|  | Requirements   | Mexico   |
|--|--|--|
|  | Information needed to track progress made (including the use of indicators achieved)   |  |
|  | Projections of GHG Emissions and Removals  |  |
|  | Mitigation policies and measures, actions and plans, including those with mitigation co-benefits resulting from adaptation measures and economic diversification plans, related to the implementation and achievement of the NDC |  |
| <b>Adaptation</b>                              | Adaptation   | Mexico has a First Adaptation Communication from 2022, with six specific vulnerabilities analysed in the National Atlas of Vulnerability to Climate Change, in addition to a National Adaptation Policy. The 3BUR does not include specific information on adaptation; however, the First Adaptation Communication includes detailed information with methodologies, criteria, tools, and indicators for the M&E of adaptation, in accordance with the Reinforced Transparency Framework which would cover the BTR requirements. |
| <b>Support received, required and provided</b> | Information on financial support needed and received   | The 6NC includes a section on Needs, barriers, and support received in terms of GHG inventory, mitigation capacities, development and technology transfer in addition to the support received during 2012-2018. Regarding the support on adaptation, the First Adaptation Communication describes in detail the different types of support received and needed. These documents complement the BTR requirements.   |
|  | Information on technology development and transfer support needed and received   |  |
|  | Information on capacity-building support needed and received   |  |

|              | Requirements  | Mexico  |
|--------------|---|---|
|              | Information on support needed and received by developing countries for report preparation |   |
|              | Information on any support provided   |   |
| <b>REDD+</b> | REDD+ Annex   | Mexico submitted its "Technical Annex on REDD+ Results", attached to its Third Biennial Update Report (3 BUR), for the 2017-2019 period. Considering that the BTR does not request new sections or information regarding the REDD+ annex submitted within the framework of the BURs, there is no information gap nor requirements to submit such information from this section other than a potential update. |

Source: Authors' elaboration

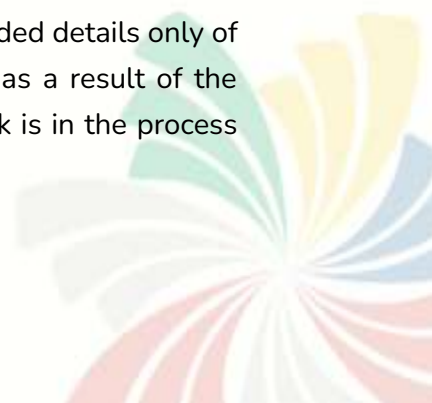
## 4.2. Achievement Tracking Matrix of BTR Requirements by Country

Based on the comparisons made in previous chapters, it is important to mention that most countries have not formally started the data collection process; however, they are preparing other national documents that allow them to meet the requirements of the BTR chapters. In addition, the information previously submitted by the Parties to the convention (NAP, NC, BUR, NDC) may be used, as required, in certain chapters of the BTR.

Based on this information, the following was identified:

- There is a gap in the capacity-building of the PA countries and Ecuador related to filling in the common tabular formats (CTFs) of NDC tracking, identifying indicators of progress for NDC tracking and the climate finance supply. It should be noted that an important and novel topic in the BTR is the implementation of tracking and progress indicators in the NDC Tracking chapter, so there is a knowledge gap about its requirements.
- There is a knowledge gap concerning the requirements of the new chapters raised in the BTR and the flexibility around voluntary sections, as well as a gap in the capacities to achieve these requirements.

Thus, a tracking matrix by country was prepared to assess the level of achievement of the BTR requirements, which can be found in Annex 6. This matrix has included details only of the new requirements demanded in the MPG and has been prepared as a result of the survey and interviews with each focal point. In that sense, the framework is in the process



of improvement and deepening for a second version based on the next approaches with each country.



## 5. Conclusions and Next Steps

Based on the analysis conducted, which comprised literature review, primary data collection, the strategic perspective of team members due to their experience in international climate change negotiations under the UNFCCC, and the supply of existing training opportunities, the following conclusions have been reached:

### Regarding the Relevance, Purpose and Motivations of BTR Processes

- Based on the interviews conducted, countries have not expressed a higher level of motivation for preparing the BTR beyond meeting the notification requirements mandated by the UNFCCC. However, according to PATPA et al. (2018)<sup>9</sup>, preparing the BTR entails national advantages such as:
  - Providing accessible information to decision-makers, both at the national and international levels.
  - Improved access to funding, as the information reported serves as a key factor for numerous donors, development banks, and other funding agencies in comprehending the financial needs and opportunities for CC mitigation and adaptation projects.
  - Providing a channel for information to be available to citizens increasingly interested in understanding the consequences of climate change and expect information and accountability from their governments for the actions taken.
  - Providing consistent information for national policymaking.
  - Greater political commitment to issues related to climate change.
  - Enhancing national capacities
  - Engaging the private sector, as mutually beneficial conditions are created through the exchange of experience related to methodologies, building the capacities of local consultants, and aligning shared interests in implementing of mitigation actions.
- The BTR processes represent a significant opportunity for the PA countries and Ecuador to engage in dialogues on critical topics, including the development of paths, primary risks and vulnerabilities, new business opportunities, and more. It is also a process that will enable national capacity-building. Similarly, it will enable a global and national transparency exercise. In this regard, it is essential to develop meaningful, credible and legitimate processes that foster national dialogues and

<sup>9</sup> Available at: [https://transparency-partnership.net/system/files/document/GIZ\\_2018\\_Ventajas%20nacionales%20de%20la%20elaboraci%C3%B3n%20de%20informes%20on%20cambio%20clim%C3%A1tico\\_0.pdf](https://transparency-partnership.net/system/files/document/GIZ_2018_Ventajas%20nacionales%20de%20la%20elaboraci%C3%B3n%20de%20informes%20on%20cambio%20clim%C3%A1tico_0.pdf)

result in a high-quality BTR. This report should provide clear signals to stakeholders and the world that the country is committed to transparency and genuine climate action.

### Regarding the Key Content of BTRs

- The main differences regarding the content of the BTR and other national reports are as follows (for further details, see Annex 1).

| Topic                             | Differences   |
|-----------------------------------|---|
| Frequency                         | Every 2 years and will replace the BUR from December 2024.  |
| National circumstances            | The BTRs require information on how national circumstances affect each of the 4 parts of the report (GHG emissions and removals over time; NDC tracking and achievement; climate change impacts and adaptation; financial and non-financial support received and needed).   |
| Institutional arrangements        | The BTRs require details of the institutional arrangements made as a framework for the preparation of the 4 parts of the report (GHG emissions and removals over time; NDC tracking and achievement; climate change effects and adaptation; financial and non-financial support received and needed).                             |
| Measuring GHG emissions and sinks | The BTRs state that it is mandatory to submit the national inventory report as part of the same document or separately.   |
|                                   | The 2006 IPCC Guidelines and any subsequent versions or refinements should be used.   |
|                                   | The gases to be reported are CO <sub>2</sub> , CH <sub>4</sub> , N <sub>2</sub> O, HFCs, PFCs, SF <sub>6</sub> , and NF <sub>3</sub> ; and there is flexibility to report at least CO <sub>2</sub> , CH <sub>4</sub> , N <sub>2</sub> O, and any additional gas of the following: HFC, PFC, SF <sub>6</sub> and NF <sub>3</sub> . |
|                                   | The GWP of the IPCC Fifth Assessment Report should be used.   |
| NDC                               | For the first time, they will be required to report on the implementation and achievement of their mitigation targets using indicators.   |

| Topic                                 | Differences   |
|---------------------------------------|---|
| Adaptation                            | <p>This information is not mandatory; nevertheless, it may facilitate acknowledging the Parties' adaptation efforts.</p>  |
| Support received, needed and provided | <p>Submitting information on national circumstances, institutional arrangements, and Party-driven strategies, along with the assumptions, definitions and methodologies employed is required.</p> <p>The BTRs request to include the sectors for which the Party wishes to attract funding, including existing barriers.</p> <p>It also requests plans, needs, and priorities related to technology development and transfer, including those identified in the Technology Needs Assessments (TNAs). In addition, information on technology development and transfer is requested for the enhancement of the Parties' capacities and technologies.</p> <p>The BTRs request to indicate the approach the Party will adopt to enhance capacity-building support; country-specific capacity-building needs, constraints and gaps in communicating those needs, and an explanation of how the capacity-building support needed would improve the provision of such information; processes for enhancing public awareness, public participation and access to information in relation to capacity-building. Regarding the support received, case studies should be mentioned, including key success and failure stories; how the support received has enhanced the capacity; the levels of government involved, their priorities, and the participation of key stakeholders.</p> <p>In addition, the BTRs request to mention the support needed and received for preparing reports and to address the areas for improvement identified by the technical expert review teams.</p> |

- Regarding the content, the priorities of countries and the strategy to maximise focus on their funding needs for mitigation and adaptation should be considered. The process should also be utilised to report on corrections needed in cooperative approaches.
- All the countries of the PA and Ecuador, with the exception of Chile, stated that they would apply flexibility in the projections of GHG emissions and removals in the tracking of NDC. Similarly, they pointed out that the interpretation and the reason for



applying flexibility are not entirely clear. Therefore, it could be an interesting topic to be addressed during the capacity-building workshop.

### Regarding the Role of Capacity-Building in the Process of Preparing the First BTRs

- The main cause of delay in most countries is linked to the time destined for capacity-building of the professionals in charge of developing the inputs for submitting the first BTR. From this, it can be inferred that in a subsequent BTR cycle, the data collection timeframes might be shorter.
- The deadlines stated by the countries based on their internal analysis range from two months to two years, with the exception of Ecuador, which did not establish specific timeframes for capacity-building for the preparation of its first BTR. In the case of Mexico, a timeframe of 2 or 3 months is considered, as the focal point stated that they intend to apply flexibility in the three voluntary sections and in the GHG projections. Peru, on the other hand, estimated a timeframe of 12 months, primarily for the filling in of tables and data collection to implement flexibility. Meanwhile, Colombia estimated a 6 - 18 month period mainly for the NGHGI section and the application of the QA/QC procedures. In contrast, Chile was the country that has estimated longer timeframes for capacity-building, ranging from 6 to 24 months, related to NGHGI, the impacts of mitigation actions, projections, and the REDD+ Annex.

### Regarding Gaps and Training Needs

- The BTR is related to other national reports such as the NC, NAP, AC, BUR, and NDC. Even though they share content, they present key differences by which countries recognise training needs.
- The main capacity-building needs of the PA countries and Ecuador are related to the impacts of mitigation actions, preparing GHG projections, identifying indicators of progress for NDC tracking, NAP tracking, filling in common tabular formats (CTFs), applying flexibility, and identifying the climate finance supply.
- Regarding the tabular formats, two main ones are identified on which the training effort could focus: those related to the NDC tracking indicators, and the other ones related to the funding required for the implementation.





## Regarding the Enabling Processes for BTRs

- All countries have identified the ministry or institution in charge of coordinating the overall BTR process. Similarly, all countries have identified the relevant institutions. However, they have not yet established formal agreements to share data and information, nor have they designated dedicated teams for BTR preparation within an institutional framework that ensures continuity over time.
- It is recommended that countries continue to build their capacities to increase their knowledge about the BTR requirements and be able to submit it within the timeframe set by the UNFCCC and with the highest possible quality.
- Climate action requires the engagement of multiple stakeholders, making coordination with various sectors and stakeholders a key aspect of the BTR preparation process. Two noteworthy good practices in this regard include Peru's adoption of a multi-stakeholder, multi-sector, and multi-level model for data collection on its NDCs, as well as Mexico's implementation of the ground-up approach.

## Regarding the Next Steps

- A session will be designed to co-create the virtual capacity-building workshop with the focal points from each country. The objective is to identify and prioritise the capacity-building needs with a higher level of specificity than what was obtained in this report, particularly for Chile and Colombia.
- The virtual workshop will contribute to the training of the focal points and individuals responsible for preparing the BTR in the PA countries and Ecuador. It will raise their knowledge about the BTR requirements by developing theoretical and practical content. This is expected to provide the necessary tools for the PA countries and Ecuador to submit their first BTR within the timeframe set by the UNFCCC and with the highest possible quality.
- The following deliverable from this consultancy service is the standardised BTR format applicable to all the PA countries and Ecuador. This format will include the identification of key stakeholders involved in the BTR preparation and recommendations on its development process. This deliverable will establish a standardised format among the PA countries and Ecuador, enabling the tracking of progress in terms of policy and action reports regarding mitigation, adaptation and climate financing.

Developed by:



Climate Change Management and Communication

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Libélula is a consulting company specialising in Climate Change and Communications.

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Annexes

Annex 1. Comparison of pre-Paris Agreement and Paris Agreement Requirements

| Chapters            | Requirements           | NC   | BUR  | BTR  | Analysis  |
|---------------------|------------------------|--|--|--|---|
| General Context     | Framework Agreement    | UNFCCC<br><br>Under Article 4 of the UNFCCC, the member Parties of the UNFCCC are required to report periodically through national communications (NCs). | Kyoto Protocol                                   | Paris Agreement  |   |
| Frequency           | Reporting period       | Every 4 years  | Every 2 years                                    | Every 2 years and will replace the BUR from December 2024. |   |
| General information | National Circumstances | Applicable   | Applicable for NC preparation on a regular basis |  | <p>The Parties, through their BURs, should report on national circumstances and institutional arrangements relevant to the preparation of national communications on a continuous basis (2/CP.17, Annex III). In addition, the NCs (17/CP.8) shall include information related to national and regional development priorities, objectives and circumstances, based on which they will address climate change and its adverse effects. Additionally, information on the characteristics of its geography, climate and economy that may affect its ability to cope with climate change mitigation and adaptation may be included.</p> <p>The BTRs require information on how national circumstances affect each of the four parts of the report (GHG emissions and removals over time; tracking and achievement of NDCs; climate change effects and adaptation; financial and non-financial support received and needed), which will be detailed in each section. If this information has already been reported in previous NC or BTR, it is not necessary to mention it again, just refer to the previous report.</p> |

| Chapters                          | Requirements  | NC         | BUR  | BTR   | Analysis   |
|-----------------------------------|---|------------|--|---|--|
|                                   | Institutional Arrangements                            | Applicable | Applicable for NC preparation on a regular basis | <p>Mandatory</p> <p>National circumstances and institutional arrangements relevant to progress made in implementing and achieving its NDC. Including arrangements on sustainable national inventory. Each Party shall submit information on the national focal point, inventory preparation process, archiving of information, and QA/QC as well as processes for inventory approval on a compulsory basis.</p> | <p>The NCs requested the Parties to submit information on institutional arrangements relevant to the preparation of NCs on a continuous basis. In the BURs, they are requested to submit information related to domestic arrangements for measurement, reporting, and verification. By contrast, the BTR states that the Parties shall submit information on institutional arrangements for domestic implementation, monitoring, reporting, and archiving of information and main stakeholders at legal, institutional and administrative levels.</p> <p>The BTR requires details of the institutional arrangements made as a framework for the development of the 4 parts of the report (GHG emissions and removals over time; NDC tracking and achievement; climate change effects and adaptation; financial and non-financial support received and needed). It is worth noting that if this information has already been reported in previous NC or BTR, it is not necessary to mention it again, just refer to the previous report.</p>  |
| Measuring GHG emissions and sinks | National circumstances and institutional arrangements |            |  | Mandatory   | <p>The “should” requirement for NIR submission under the Convention has become in a “shall” under the Paris Agreement’s ETF. The NIR shall follow the 2006 IPCC guiding principles (Transparency, Accuracy, Completeness, Consistency and Comparability -- TACCC), instead of the 1996 IPCC Guidelines under the Convention.</p> <p>Both for the NC and the BUR, reporting was made by submitting a GHG inventory and common reporting tables. Additionally, the BUR includes a summary of the GHG inventory. The BTR requests the same common reporting tables and a <b>national inventory report, which is mandatory</b>. The NC and BUR requirements presented flexibility according to the country's capacities.</p> <p>The NCs were based on the 1996 IPCC guidelines. They encouraged the use of 2000 IPCC GPG and 2003 IPCC GPG for LULUCF, while the BUR used all three guidelines without flexibility. By contrast, the BTR requests that the <b>2006 IPCC Guidelines and any subsequent versions or refinements shall be used</b>.</p> <p>The greenhouse gases to be considered in the NC and the BUR are the same: CO<sub>2</sub>, CH<sub>4</sub>, N<sub>2</sub>O, HFCs, PFCs, SF<sub>6</sub>, CO, NO<sub>x</sub>, NMVOCs, and SO<sub>x</sub>. The gases to be reported</p> |

| Chapters | Requirements                          | NC            | BUR  | BTR                                       | Analysis  |
|----------|---------------------------------------|---------------|--|---|---|
|          | Summary of GHG Emissions and Removals | GHG inventory | GHG Inventory + Summary of the National Inventory Report | Mandatory, reporting on GHGI is necessary | <p>in the BTR are CO<sub>2</sub>, CH<sub>4</sub>, N<sub>2</sub>O, HFCs, PFCs, SF<sub>6</sub>, and NF<sub>3</sub>; and there is flexibility to report at least CO<sub>2</sub>, CH<sub>4</sub>, N<sub>2</sub>O, and any additional gas of the following: HFCs, PFCs, SF<sub>6</sub>, and NF<sub>3</sub>. In the case of aggregated GHG reports, the NCs present it optionally and using the GWP (Global Warming Potential) of the <u>IPCC Second Assessment Report</u>. The BTR requests to submit this aggregated GHG report with the <b>GWP of the IPCC Fifth Assessment Report</b> (Decision 18/CMA.1 par 37).</p> <p>The key categories to be reported in the BTR shall be identified with a threshold of 95% (85% if flexibility is needed). Additionally, cumulative contributions per category must be provided, and the level should be reported as the trend (at least for the first and last year of the time series). The NCs only encouraged to carry out any analysis as indicated in the IPCC good practice guidance. This aspect was not stipulated in the BURs.</p> <p>The information on the national circumstances and institutional arrangements included in the BTR is the national entity/focal point, inventory preparation process, archiving of the information for the time series, and inventory approval process. In contrast, the NCs (and BUR) only request to describe the procedures and arrangements to collect data and information on the role of the institutions involved in the GHG Inventory.</p> |

| Chapters | Requirements   | NC   | BUR | BTR   | Analysis  |
|----------|--|--|-----|---|---|
| NDC      | National circumstances and institutional arrangements                                | Information relevant to the achievement of the goal of the Convention:<br>-Technology transfer<br>-Research and systematic observation<br>-Education, training and public awareness<br>-Capacity-building<br>-Information and networking |     | Mandatory. This shall include:<br>- Government structure;<br>- Population profile;<br>- Geographical profile;<br>- Economic profile;<br>- Climate profile;<br>- Sector details. | <p>For developing countries, this is an <b>important addition</b>, as <b>for the first time, they will have to report on the implementation and achievement of their mitigation outcomes</b> using indicators.</p> <p>According to Article 4 of the Paris Agreement, this point should contain information on current national circumstances and institutional arrangements that are relevant to the progress and achievement of the NDC, including those used to track international transfer mitigation outcomes, as well as the institutional, legal, administrative and procedural arrangements used for implementation, tracking, reporting, archiving of information and stakeholder engagement that relate to the implementation and achievement of its NDC. It is worth mentioning that <b>the Parties may refer to information previously communicated</b>.</p> <p>A description of the NDC including updates shall also be included in order to track progress. The detailed information to be reported by the Parties is detailed in paragraph 64 of Decision 18/CMA.1. Annex.</p> |
|          | Description of the NDCs  |  |     | Mandatory<br>Information on the target and its description, deadline, or target year is required to be included.  | Finally, it is also stated that this point must contain the necessary information to track the progress made in the implementation and achievement of the NDC. The Parties shall select indicators (qualitative or quantitative, and for each selected indicator, the Party shall provide:  |
|          | Information needed to track progress made (including the use of indicators achieved) |  |     |   | Mandatory. Indicators may be quantitative or qualitative, and indicator data shall be provided for all years reported   |

| Chapters | Requirements   | NC  | BUR  | BTR   | Analysis   |
|----------|--|---|--|---|--|
|          | Projections of GHG Emissions and Removals  |   |  | Mandatory. However, developing countries that need flexibility in the light of their capacities, are only encouraged to report them and may use fewer specific methodologies.               | of this shall be submitted in narrative and common tabular formats (see detail in 18CMA-1, Chapter III, point C).  |
|          | Mitigation policies and measures, actions and plans, including those with mitigation co-benefits resulting from adaptation measures and economic diversification plans, related to the implementation and achievement of the NDC | Programmes containing measures to mitigate climate change shall be included | Information in a tabular format on mitigation actions and their impacts, including methodologies and associated assumptions. | Mandatory. This information shall focus on those that have the greatest effect on GHG emissions or removals and those that affect the main categories of the national GHG inventory (GHGI). | This point was already included in the requirements of the BUR (2/CP.17, Annex III, paragraphs 11, 12, and 13), as well as in the guidelines for reporting the NDCs (4-CMA.1). However, these measures shall now be submitted, to the extent possible, in descriptive form and tabular formats, as stated in 18CMA-1, Chapter III, paragraphs 82 and 83 point D. Optionally, information such as costs, benefits in areas other than GHG mitigation, and information on how mitigation actions interact with each other for each action, policies, and measures can be included. |

| Chapters                                | Requirements   | NC   | BUR  | BTR  | Analysis  |
|---|--|--|--|--|---|
| Adaptation                              | Adaptation   | Programmes including measures to enhance adequate adaptation to climate change shall be included |  | Optional. Information on climate change impacts and adaptation work is reported (with clear links to adaptation communications, which may be reported as an integral part of a BTR). | <p>Reporting <b>this information is not mandatory; however, it may facilitate acknowledging the Parties' adaptation efforts</b>. Some of the Parties already report progress on this matter, either in their National Communications, Communications on adaptation, and other documents related to National Adaptation Plans.</p> <p>Regarding the last NCs, the five countries under analysis have a general framework for their adaptation actions and programmes towards climate change and an analysis of the risks and vulnerabilities in their respective countries. New requirements must be added in the BTR, such as national circumstances, institutional arrangements, and legal frameworks; impacts, risks, and vulnerabilities; priorities and obstacles related to adaptation; strategies, policies, plans, and adaptation goals; progress made; tracking and evaluation of adaptation processes and measures; information concerning the efforts to avert and address losses; cooperation, good practices, experiences and lessons learned; and any other relevant information related to adaptation work. For further detail on the types of information related to the effects of climate change on adaptation, see 18CMA-1, Chapter IV, paragraphs 104-117.</p> |
| Support received, required and provided | Information on financial support needed and received | Information on related financial, technical, and capacity-building needs                         | Information on related financial, technical, and capacity-building needs, including a description of support needs and support received. | Not mandatory, but requested   | <p>The communication of this information in the BTR is a 'requested' (<i>should</i>) requirement for developing country Parties, i.e., it is not mandatory. The requested information should be reported in a combination of textual and tabular formats, and divided between the financial support needed and received, the support needed and received for technology development and transfer, the support needed and received for capacity-building, and the support needed and received to implement Article 13 of the Paris Agreement and transparency activities.</p> <p>The BTR, unlike the NCs and the BUR, requests to report information on the <b>national circumstances, institutional arrangements and Party-driven strategies</b>; as well as the <b>assumptions, definitions and methodologies used</b>.</p> <p>Regarding the information on the financial support required and received, the NCs encourage to provide a list of projects proposed for funding (to the extent their capacities allow); while the BUR requests to report on restrictions, gaps, and financial needs, as well as financial support received. On the other hand, the BTRs request to report the sectors for which the Party wishes to attract funding, including existing</p>        |



| Chapters | Requirements  | NC | BUR | BTR | Analysis  |
|----------|---|----|-----|-----|---|
|          |   |    |     |     | barriers. In addition, a description should be given of how the support will contribute to its NDCs and to the long-term goals of the Paris Agreement. Regarding the financial support received, the BTR requests to complete a detailed common table on the programme from which it received support.  |
|          | Information on technology development and transfer support needed and received            |    |     |     | <p>The BUR requests, in general terms, to report information on the needs and support received regarding technological resources. NCs encourage reporting on the Party's specific technological needs and the support received by developed countries and the financial mechanism of the Convention and, as appropriate, how they have used this support to enhance the development and improvement of technologies (adaptation information may be additionally included).</p> <p>The BTR requests plans, needs, and priorities related to technology development and transfer, including those identified in Technology Needs Assessments (TNAs). In addition, information on technology development and transfer is requested to improve the Parties' capacities and technologies.</p>  |
|          | Information on capacity-building support needed and received                              |    |     |     | <p>The NCs do not request information on capacities, and the BURs request general information. On the contrary, the BTRs request to point out the approach the Party seeks to take to enhance capacity-building support; country-specific capacity-building needs, constraints and gaps in communicating those needs, and an explanation of how the capacity-building support needed would improve the provision of such information; processes to improve public awareness, public participation and access to information in relation to capacity-building. Regarding the support received, mention should be made of case studies, including key success and failure stories; how the support received has improved the capacity; the levels of governments involved, their priorities, and the participation of key stakeholders.</p> |
|          | Information on support needed and received by developing countries for report preparation |    |     |     | <p>The NCs request to provide information on financial resources and technical support for the preparation of their NC, both owned and received by the GEF, the Parties from Annex II, or bilateral and multilateral institutions.</p> <p>In addition, the BTR requests to mention the support needed and received <b>for preparing reports and addressing the areas for improvement</b> identified by the technical expert review teams.</p>   |

| Chapters     | Requirements                        | NC                       | BUR  | BTR  | Analysis   |
|--------------|-------------------------------------|--------------------------|--|--|--|
|              | Information on any support provided |                          |  |  |  |
| <b>REDD+</b> | REDD+ Annex                         | Optional Technical Annex | Report including the results of REDD+ in a technical annex to the BUR (only for Parties wishing to obtain and receive payments for result-based actions) | Developing country Parties wishing to obtain and receive payments for REDD+ actions, must report the corresponding information as a technical annex of the BTR | This information has already been reported by some of the countries under analysis through a technical annex in their BURs from MRVs, based on decision 14/CP.19, paragraph 7. This means that there are no differences between the reporting of this technical annex with the provisions of the MRV and the ETF. The content of the technical annex will continue to be prepared in accordance with the Warsaw Framework for REDD+, but they will be reported with the BTR starting from December 2024. |

Source: Authors' elaboration

## Annex 2. Detail of Interviews with Focal Points

| Country  | Professional consulted<br>(Name/position or role in the BTR process)  | Date       | Digitalisation of<br>the interview |
|----------|---|------------|------------------------------------|
| Chile    | Richard Martinez/BTR and NC Coordinator for Chile<br>-National Greenhouse Gas Inventory System of Chile               | 11.05.2023 | <a href="#">Chile</a>              |
| Ecuador  | Paul Melo/Climate Change Mitigation Specialist at the<br>Ministry of the Environment                                  | 09.05.2023 | <a href="#">Ecuador</a>            |
|          | Gabriela Vargas/Coordinator of the Means of<br>Implementation and Climate Change Governance Unit                      |            |                                    |
| Mexico   | Janette Frausto/Directorate of Strategic Projects and Low<br>Carbon Technologies of Mexico - Climate Change Institute | 17.05.2023 | <a href="#">Mexico</a>             |
| Colombia | Sandra Granados/Directorate of Climate Change, in charge<br>of transparency issues                                    | 10.05.2023 | <a href="#">Colombia</a>           |
|          | Constantino Hernandez/Sub directorate of Environmental<br>Studies   |            |                                    |
| Peru     | Margoth Espinoza/Clean Development Mechanism and<br>Carbon Market Specialist  | 10.05.2023 | <a href="#">Peru</a>               |
|          | Rodrigo Alvites/3BUR and 4NC Coordinator  |            |                                    |

Source: Authors' elaboration



## Annex 3. Virtual Survey and Questionnaire to PA and Ecuador Focal Points

### A3.1 Virtual Survey

#### I. Introduction

1. What country are you representing?
2. When will the process for the preparation of the BTR begin?
3. In case you answered in the previous question that the BTR is ongoing, please indicate which items are 80-100% advanced. Otherwise, ignore this step.

#### II. Political Commitment

4. Is there an established process to request/allocate a budget in the preparation of your BTR?
5. Has a ministry/institution been assigned to coordinate of the overall BTR process?
6. Do you have a BUR or NC coordination team, including a designated coordinator?
7. Do you anticipate that the BUR coordinator and team will be ready for BTR preparation?
8. Have you appointed a BTR coordination team?
9. Have you already discussed the content of the BTR?
10. What non-mandatory components should you consider, or have you already decided to address?

#### III. Gap Analysis

1. Have you conducted a stocktake or gap analysis to understand to what extent your current BUR/MRV system covers the requirements of the BTR according to the ETF?

#### IV. Organizational Arrangements

1. Did you identify relevant institutions and do you hold regular coordination meetings with them?
2. Are there agreements in place to share data and information?

#### V. National GHG Inventory

1. Have you recently collected a GHGI?
2. Do you still have access to the data used for GHGI collection?
3. Have you retained the capacity to prepare a GHGI?
4. Have you used the 2006 IPCC Guidelines to collect a GHGI?
5. Do you intend to design and implement QA/QC procedures?
6. Have you applied QA/QC procedures before?



7. Have you retained the capacities to apply QA/QC procedures?
8. Have you estimated GHGI uncertainty in previous submissions (e.g., NC, BUR or NIR)
9. Have you retained the capacity to estimate GHGI uncertainty? \*If it is only for qualitative uncertainty, please choose <<Partially>>

## **VI. Tracking NDC progress**

1. What type of goal does the NDC have?
2. Have you already defined progress indicators for all NDC goals?
3. Have you previously reported on mitigation actions?
4. Have you retained the capacities to collect the relevant data describing mitigation actions?
5. Do you intend to estimate the impacts of mitigation actions?
6. Have you previously estimated the impacts of mitigation actions?
7. Have you retained the capacities to estimate such impacts?
8. Will you include projections of GHG emissions and removals?
9. Have you developed projections before?
10. Have you retained the capacities to develop projections?

## **VII. Adaptation**

1. Have you previously submitted a communication on Adaptation?
2. Do you have a National Adaptation Plan (NAP) or a National Adaptation Strategy/Policy?
3. Have you retained capacities to track the implementation of the NAP, NDCs and Adaptation strategies and policies?

## **VIII. Support Needed and Received**

1. Have you previously reported on the support needed and received?
2. Have you retained the capacities to report about the support?

## **IX. REDD+ Annex**

1. Have you previously reported the Technical Annex on results-based actions under REDD+?
2. Have you retained the capacities to prepare the technical annex?

## **X. Human Resources**

1. How many staff members are expected to work full-time on the BTR collection?



2. Does the composition and expertise of the team allow any of the following main activities to be developed in parallel to the "National GHG Inventory" item? \*Select the option(s) you think could be developed in parallel.
  - Mitigation actions
  - Adaptation
  - Support Needed and Received
  - REDD+ Annexes
3. Does the composition and expertise of the team allow any of the following main activities to be developed in parallel to the NDC tracking progress indicators? \*Select the option(s) you think could be developed in parallel.
  - Mitigation actions
  - Adaptation
  - Support Needed and Received
  - REDD+ Annexes
4. Does the composition and expertise of the team allow any of the following main activities to be developed in parallel with the development of NDC mitigation actions? \*Select the option(s) you think could be developed in parallel.
  - Mitigation actions
  - Adaptation
  - Support Needed and Received
  - REDD+ Annexes
5. Does the composition and expertise of the team allow any of the following main activities to be developed in parallel with the analysis of the effect of NDC mitigation actions? \*Select the option(s) you think could be developed in parallel.
  - Mitigation actions
  - Adaptation
  - Support Needed and Received
  - REDD+ Annexes
6. Does the composition and expertise of the team allow any of the following main activities to be developed in parallel with the development of NDC projections? \*Select the option(s) you think could be developed in parallel.
  - Mitigation actions
  - Adaptation
  - Support Needed and Received
  - REDD+ Annexes



7. Does the composition and expertise of the team allow any of the following main activities to be developed in parallel with the development of NDC projections? \*Select the option(s) you think could be developed in parallel.
  - Mitigation actions
  - Adaptation
  - Support Needed and Received
  - REDD+ Annexes
8. Does the composition and expertise of the team allow any of the following main activities to be developed in parallel to the "Adaptation" item? \*Select the option(s) you think could be developed in parallel.
  - Mitigation actions
  - Adaptation
  - Support Needed and Received
  - REDD+ Annexes
9. Does the composition and expertise of the team allow any of the following main activities to be developed in parallel to the "Information on the support needed and received" item? \*Select the option(s) you think could be developed in parallel.
  - Mitigation actions
  - Adaptation
  - Support Needed and Received
  - REDD+ Annexes

### **XI. Capacity-Building Needs**

1. Approximately how long in months will it take to build the capacity of each section?

### **XII. Collection**

1. Approximately how long in months will it take to collect each section?

### **XIII. Finalisation**

1. How long will it take to consolidate the different chapters and design the whole BTR?
2. How long in months would it take to receive official review and approval?

## **A3.2 Questionnaire**

### **I. Purpose/motivations for participating in the Enhanced Transparency Framework under the Paris Agreement and preparation and submission of the BTR**

1. What motivates the country to submit a BTR and participate in the Enhanced Transparency Framework?



2. What do you want to achieve and what can the country achieve in the time set for the submission of the report?

## II. Political context, institutional arrangements, governance, and available resources

1. Does the country's climate change legal framework establish roles and responsibilities for the BTR preparation process?
2. What do you consider to be the level of political priority on climate change in your country? (High, medium, low and why?)
3. What do you consider to be the top 3 priorities of your country's climate agenda?
4. Is there a process in your country to create a shared vision on NDC, and to identify resilience priorities and their impacts on development processes? If so, please describe it.
5. List of stakeholders (name and institution) that will be part of the BTR process (or have been part of previous climate policy processes to be reported), organised into two groups:
  - i) current stakeholders (with whom some kind of link is currently maintained) and ii) potential stakeholders (no link is currently maintained but would be desirable).
6. Which of them are allies for climate action? Which of them are detractors? Which of them maintain neutral?
7. Is there a BTR coordination team? When was it established? How is it made up? Was the team made up exclusively for the preparation of BTRs or is it involved in other parallel processes (BUR, GHG Inventory or NC)?
8. What are the inter-institutional arrangements that have been generated to work on this topic? Who or what type of stakeholders make it up? How often do you meet? How and since when it was made up?
9. When did or will the process for preparing the BTR start? Will it be started under a mandate? Who is the highest political authority giving the mandate and what form does it take? What do you need to get started now?

## III. Technical and Capacity Aspects

1. Regarding the survey conducted by Libélula, how easy was it for you to answer? What information gaps did you find? Did you answer the survey in consultation with a team or individually?
2. Has the content of the BTR already been agreed (mandatory and voluntary sections)? When was it agreed and how was it done? What sections do you consider a priority for your country to address? Why?



3. How much progress have you made with respect to the 2 mandatory sections of the BTR (GHG Inventory, NDC) and with the voluntary ones (Adaptation, Support, REDD+ Annex)?
4. Does the team have the necessary financial resources to conduct its work? Have you requested it? To whom? How much have you requested? How long does the disbursement process take?
5. Has the team in charge strengthened its technical capacities on this issue? How?
6. How much time will be allocated to provide training in each of the sections (GHG inventory, indicators of progress, impact of actions, projections, support needed and REDD+ annex)?

#### a) National GHG Inventory

1. Is there an established institutional agreement for the preparation of inventories?
2. Is the team in charge still part of the Ministry? Is it still active?
3. Is the division of the specific responsibilities of the institutions involved in the preparation of the inventory clear?
4. Have you contacted the team in charge to tell them about this section in the BTR?
5. Have technical capacities on the 2006 IPCC Guidelines been strengthened for the relevant institutions?
6. Do the seven gases identified in Decision 18: CO<sub>2</sub>, methane (CH<sub>4</sub>), nitrous oxide (N<sub>2</sub>O), hydrofluorocarbons (HFCs), perfluorocarbons (PFCs), sulphur hexafluoride (SF<sub>6</sub>) and nitrogen trifluoride (NF<sub>3</sub>) are included?

#### b) Progress in the Implementation of NDC

1. How many NDC does the country have? Will an update be sent?
2. What are the institutional arrangements in place to track progress made in implementing and achieving the NDC?
3. Are all NDC actions economically assessed?
4. Have indicators of progress for all NDC goals already been defined? What measures do they correspond to?
5. Do you have the capacities to collect the relevant data describing mitigation actions?
6. Do you intend to estimate the outcomes or impacts of mitigation actions? How far have you come on this topic? What do you need to estimate them?
7. Will you include projections of GHG emissions and removals? What do you need to include them?
8. Have you made progress with the description of national circumstances (governance structure; population profile; geographical profile; economic profile; climate profile; sector details)? In what percentage by topic?

### c) Impacts of Climate Change and Adaptation

1. Do you have information on current and projected climate trends and hazards?
2. Do you have information on potential and observed impacts of climate change?
3. Do you know what are the adaptation challenges and gaps, and barriers to adaptation?
4. Do you have information to indicate the extent to which the gender approach and local knowledge are integrated into adaptation measures?
5. Do you have indicators to:
  - measure how much resilience increased and the extent of impact reduction?
  - measure how effective the implemented adaptation measures are?
6. Do you have information on the prevention, minimization and treatment of losses and damages associated with the adverse effects of climate change?

### d) Support Needed and Received

1. Do you have systems and processes used to identify, track and report on support needed and received through public interventions?
2. Do you have information on the amount requested and received?
3. Do you have information on what the financial instrument is (e.g., grant, concessional loan, non-concessional loan, equity, guarantee, insurance, other)?
4. Do you know how this support will be used? (technology, capacity-building)

### e) REDD+ Annex

1. Have you previously communicated about outcome-based measures under REDD+?

## IV. Additional Questions

- What would be your recommendations for moving towards common reporting across the Pacific Alliance countries?
- What is the main need? It will allow to guide the capacity-building process.
- Identify good practices that can be used as a reference for other Pacific Alliance countries.

### Professional consulted

- Name / Position and Role in the BTR Process



## Annex 4. Comparison of pre-Paris Agreement and Paris Agreement Requirements

This subsection shows a comparative matrix between the reporting requirements of the United Nations Framework Convention on Climate Change, the Kyoto Protocol, and the Paris Agreement. Information on the structure of the Pre-Paris Agreement and Paris Agreement national documents can be found in Table 11.

**Table A4-1. Structure of pre-Paris Agreement and Paris Agreement national documents**

| National Document                  | Origin  | Structure   | References  |
|------------------------------------|---|---|---|
| National Communication (NC)        | According to existing provisions under the Convention | <ol style="list-style-type: none"> <li>1. National Circumstances</li> <li>2. National GHG Inventory</li> <li>3. Overview of actions adopted or planned to implement the Convention</li> <li>4. Other information relevant to the achievement of the Convention's goals</li> <li>5. Climate change needs and support received and provided</li> <li>6. Annexes</li> </ol>                            | Guidelines for the preparation of national communications from Parties not included in Annex I to the Convention ( <a href="#">Decision 17/CP.8</a> ).                      |
| Biennial Update Report (BUR)       | According to existing provisions under the Convention | <ol style="list-style-type: none"> <li>1. National circumstances and institutional arrangements relating to the preparation of national communications</li> <li>2. National GHG Inventory, including national inventory report</li> <li>3. Mitigation actions and their impacts, including methodologies and related assumptions</li> <li>4. Financial, technological and training needs</li> </ol> | Framework Convention guidelines for reporting biennial update reports by Parties not included in Annex I to the Convention ( <a href="#">decision 2/CP.17. annex III</a> ). |
| Biennial Transparency Report (BTR) | Paris Agreement                                       | <ol style="list-style-type: none"> <li>1. National GHG inventories</li> <li>2. Information needed to track progress in implementing and achieving the NDC</li> <li>3. Information on the effects of climate change and adaptation efforts</li> <li>4. Information on support needed and received</li> </ol>   | MPGs for the transparency framework for action and support referred to in Article 13 of the Paris   |

| National Document | Origin | Structure   | References   |
|-------------------|--------|---|--|
|                   |        | <ol style="list-style-type: none"> <li>5. Information to be reported when NCs or BTRs are jointly reported every four years<sup>10</sup></li> <li>6. Information on flexibility</li> <li>7. Improvements in reporting over time</li> <li>8. Any other information relevant to the achievement of the Convention's goals</li> <li>9. REDD+ Annex</li> <li>10. Common Tables for the NIR Annex</li> <li>11. Annexes of Tabular Formats for NDC and support received and needed</li> <li>12. Cooperative Approaches Annex</li> </ol> | <p>Agreement (<a href="#">Annex to decision 18/CMA.1</a>).</p> <p>Guidance for operationalising the modalities, procedures and guidelines for the enhanced transparency framework referred to in Article 13 of the Paris Agreement (<a href="#">Decision 5/CMA.3</a>).</p> |

Source: Authors' elaboration

Below there is an analysis of the comparison by each section of the BTR and the sections of pre-Paris Agreement national reports. Refer to Annex 1 to see the aggregated comparison table.

### a) General Information

The BTRs require information on how national circumstances and institutional arrangements affect each of the 4 parts of the report (GHG emissions and removals over time; NDC tracking and achievement; climate change effects and adaptation; financial and non-financial support received and needed).

Previously, regarding national circumstances and institutional arrangements, the BUR required Parties to report on national circumstances and institutional arrangements relevant to the preparation of NCs on an ongoing basis, as well as information related to domestic arrangements for measurement, reporting and verification (2/CP.17 Annex III). In addition, in

<sup>10</sup> This information shall be reported when the National Communications and BTRs are jointly reported every 4 years, as indicated in decision 1/CP.24, para. 43, therefore, for the submission of this first BTR, this section would not be included, and no comparative analysis has been carried out for it.

accordance with decision 17/CP.8, NCs should include information related to national and regional development priorities, objectives, and circumstances. This information forms the basis for addressing climate change and its adverse effects. NCs should also provide details on institutional arrangements relevant to the ongoing preparation of NCs. Additionally, and optionally, information on the characteristics of its geography, climate, and economy that may affect its ability to cope with climate change mitigation and adaptation may be included.

## **b) National GHG Inventories**

The second general chapter refers to the measurement of GHG emissions and sinks. The “should” requirement for NIR submission under the Convention has become in a “shall” under the Paris Agreement’s ETF. The NIR shall follow the 2006 IPCC guiding principles (Transparency, Accuracy, Completeness, Consistency and Comparability - TACCC), instead of the 1996 IPCC Guidelines under the Convention.

Both for the NC and the BUR, reporting was made by submitting a GHG inventory and common reporting tables. Additionally, the BUR includes a summary of the GHG inventory. The BTR requests the same common reporting tables and a national inventory report, which is mandatory. The NC and BUR requirements presented flexibility according to the country's capacities.

The NCs were based on the 1996 IPCC guidelines. They encouraged the use of 2000 IPCC Good Practice Guidance and 2003 IPCC GPG for LULUCF, while the BUR used all three guidelines without flexibility. By contrast, the BTR points out that the 2006 IPCC Guidelines and any subsequent versions or refinements shall be used.

The greenhouse gases to be considered in the NC and the BUR are the same: CO<sub>2</sub>, CH<sub>4</sub>, N<sub>2</sub>O, HFCs, PFCs, SF<sub>6</sub>, CO, NO<sub>x</sub>, NMVOCs, and SO<sub>x</sub>. The gases to be reported in the BTR are CO<sub>2</sub>, CH<sub>4</sub>, N<sub>2</sub>O, HFCs, PFCs, SF<sub>6</sub>, and NF<sub>3</sub>; and there is flexibility to report at least CO<sub>2</sub>, CH<sub>4</sub>, N<sub>2</sub>O, and any additional gas of the following: HFCs, PFCs, SF<sub>6</sub>, and NF<sub>3</sub>. In the case of aggregated GHG reports, the NCs present it on an optional basis and using the GWP (Global Warming Potential) of the IPCC Second Assessment Report. The BTR requests to submit this aggregated GHG report with the GWP of the IPCC Fifth Assessment Report (Decision 18/CMA.1 par 37).

The key categories to be reported in the BTR should be identified with a threshold of 95% (85% if flexibility is needed). Additionally, cumulative contributions per category must be provided, and the level should be reported as the trend (at least for the first and last year of the time series). The NCs only encouraged to carry out any analysis as indicated in the IPCC good practice guidance. This aspect was not stipulated in the BURs. The information on the national circumstances and institutional arrangements included in the BTR is the national entity/focal

point, inventory preparation process, archiving of the information for the time series, and inventory approval process. In contrast, the NCs (and BUR) only request to describe the procedures and arrangements for data and information collection regarding the role of the institutions involved in the GHG Inventory.

### **c) Information Needed to Track Progress in the NDC Implementation and Achievement**

The information related to NDCs tracking is an important addition for developing countries, since for the first time they will have to report on the implementation and achievement of their mitigation objectives using indicators.

According to Article 4 of the Paris Agreement, this point should contain information on current national circumstances and institutional arrangements that are relevant to the progress and achievement of the NDC, including those used to track international transfer mitigation outcomes, as well as the institutional, legal, administrative and procedural arrangements used for implementation, tracking, reporting, archiving of information and stakeholder engagement that relate to the implementation and achievement of its NDC. It is worth mentioning that the Parties may refer to information previously communicated.

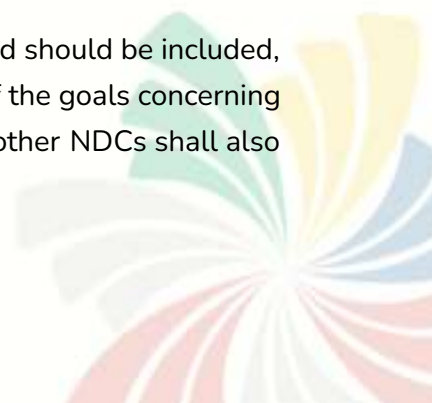
A description of the NDC including updates should also be included to track progress. The detailed information to be reported by the Parties is detailed in paragraph 64 of Decision 18/CMA.1. Annex.

Finally, it is also stated that this point should include the necessary information to track the progress made in the implementation and achievement of the NDCs. The Parties shall select indicators (qualitative or quantitative), and for each selected indicator, the Parties shall provide:

1. Information on benchmarks, levels, baselines, base years, or starting points and shall update such information in the light of any recalculation of the GHG inventory, if applicable.
2. The most recent information for each year reported during the period of application of its NDC.

Based on the information provided, they should track the progress made in the implementation of their NDC.

For the first BTR, information on the latest year or the end of the NDC period should be included, as well as the corresponding assessment to determine the achievement of the goals concerning its objectives as a means of accountability. Information from the first and other NDCs shall also



be reported for monitoring and accountability. All of this shall be submitted in narrative and in common tabular formats (see detail in 18CMA-1, Chapter III, point C).

Information on mitigation policies, measures, actions and plans, including those with secondary mitigation benefits derived from adaptation measures and/or economic diversification plans, related to the implementation and achievement of the NDCs was already included in the requirements of the BUR (2/CP.17, Annex III , paragraphs 11, 12 and 13), as well as in the guidelines of the NDC submissions (4-CMA.1). However, these measures shall now be submitted, as far as possible, in narrative and in tabular formats, as stated in 18CMA-1, Chapter III, paragraphs 82 and 83 point D. Optionally, information such as costs, benefits in areas other than GHG mitigation, and information on how mitigation actions interact with each other for each action, policies, and measures can be included.

#### **d) Information on the Effects of Climate Change and Adaptation Efforts**

Adaptation information in the BTR is voluntary in nature; however, it could facilitate recognition of Parties' adaptation efforts. Some of the Parties already present progress on this point, either in their NCs, Adaptation Communications and other documents related to NAPs.

Concerning the last NCs, the five countries under analysis have a general framework for their adaptation actions and programmes towards climate change and an analysis of the risks and vulnerabilities in their respective countries. In the BTR, new requirements must be added, such as national circumstances, institutional arrangements, and legal frameworks; effects, risks, and vulnerabilities; priorities and obstacles related to adaptation; strategies, policies, plans, and adaptation goals; progress made; tracking and evaluation of adaptation processes and measures; information concerning the efforts to avert and address losses; cooperation, good practices, experiences and lessons learned; and any other relevant information related to adaptation work. For further detail on the types of information related to the effects of climate change on adaptation, see 18CMA-1, Chapter IV, paragraphs 104-117.

#### **e) Information on Support Needed and Received**

The support needed and received has been reported in the BURs, which was requested to report information on the needs and support received regarding technological resources. The NCs encourage reporting on the Party's specific technological needs and support received by developed countries and the financial mechanism of the Convention and, as appropriate, how they have used this support to enhance the development and improvement of technologies (adaptation information may additionally be included).



The BTR requests plans, needs, and priorities related to technology development and transfer, including those identified in *Technology Needs Assessments* (TNAs). In addition, information on technology development and transfer is requested to improve the Parties' capacities and technologies.

NCs do not request information on capacities, and the BURs request general information. On the contrary, the BTRs request to indicate the approach the Party will adopt to enhance capacity-building support; country-specific capacity-building needs, constraints and gaps in communicating those needs, and an explanation of how the capacity-building support needed would improve the provision of such information; processes for enhancing public awareness, public participation and access to information in relation to capacity-building. Regarding the support received, case studies should be mentioned, including key success and failure stories; how the support received has enhanced the capacity; the levels of government involved, their priorities, and the participation of key stakeholders.

The NCs request to provide information on financial resources and technical support for the preparation of their NC, both owned and received by the GEF, the Parties from Annex II, or bilateral and multilateral institutions.

The BTR requests to mention the support needed and received for preparing reports and to address the areas for improvement identified by the technical expert review teams.

## f) Information on Flexibility

This chapter shall be applicable to all Parties applying flexibility in the preparation of the BTR. This section has not been addressed in Pre-Paris Agreement documents. It should be noted that, instead of having this chapter, this information may be reported in the general description chapter of the BTR or integrated into the corresponding chapters where the specific flexibility provisions have been applied. The Parties may also choose to voluntarily include a summary table in the BTR on flexibility in specific provisions.

The information reported shall concisely specify what the capacity limitations are, taking into account that some limitations may affect several provisions, and should include:

- Report on Flexibility Provisions
- Capacity constraints regarding the application of flexibility.
- Tracking of areas of improvement identified, providing information on any progress made regarding their limitations and a schedule demonstrating estimated deadlines for the implementation of improvements.



### **g) Improvements in Reporting Over Time**

Like the previous chapter, this section has not been addressed in Pre-Paris Agreement documents and instead of having this chapter, this information may be included in the chapters in which it corresponds.

This chapter shall report the areas for improvement identified by the country and the technical experts' team regarding the implementation of Article 13 of the Paris Agreement. Also, it shall indicate how it addresses or intends to address the areas for improvement and detail the identification of support needs for capacity-building in reporting,

### **h) Any Other Information Relevant to the Achievement of the Goals of the Convention**

This chapter has been reported as part of the National Communications. In the BTR, this chapter is voluntary, and each country may provide, as appropriate, any other information related to the impacts of climate change and adaptation work.

### **i) REDD+ Annex**

Another voluntary section of the one related to REDD+. This information has already been reported by some of the countries under analysis through a technical annex in their BURs from MRVs, based on decision 14/CP.19, paragraph 7. This means that there are no differences between the reporting of this technical annex with the provisions of the MRV and the ETF. The content of the technical annex will continue to be prepared in accordance with the Warsaw Framework for REDD+, but they will be reported with the BTR starting from December 2024.

### **j) Annex of Common Tables for the NIR<sup>11</sup>**

The electronic preparation and reporting of the common tables for the NIR (CTR) is a new requirement. These CTRs shall be submitted electronically and shall contain the information to be included in the national inventory reports of anthropogenic emissions by sources and removals by sinks of greenhouse gases. While the NDC and BUR requested information from the GHG Inventory, these common tables standardise the information reported as they seek to ensure the strength, consistency, comparability and reliability of the information submitted by the countries.

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<sup>11</sup> CTRs can be found at the following link: <https://unfccc.int/documents/311076>



### **k) Annexes of Tabular Formats for NDC and Support Received and Needed (CTF)**

The preparation and electronic reporting of the Annexes of Tabular Formats for NDC and support received and needed (CTF) is a new requirement. These CTFs were prepared considering the common tabular formats and common formats for pre-Paris Agreement reports that already exist.

CTFs shall provide information on:

- NDC Tracking: Information needed to track progress in implementing and achieving NDCs under Article 4 of the Paris Agreement
- Financial, technology development and transfer and capacity-building support needed and received under Articles 9 to 11 of the Paris Agreement

### **l) Annex with Information on the Participation of the Parties in Cooperative Approaches**

Finally, an Annex could be included with information on the participation of Parties in cooperative approaches. These cooperative approaches are a result of decision 2/CMA.3, which refers to Article 6, paragraph 2 of the Paris Agreement. This decision details the reporting of an "initial report" that (...) "*must be submitted no later than the time the internationally transferred mitigation outcomes (ITMOs) of a cooperative approach are authorized or, when feasible, together with the following biennial transparency report*". Detailed information on the content of the information is explained in 2/CMA.3, Annex, Chapter IV<sup>12</sup>.

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<sup>12</sup> [2/CMA.3](#).



## Annex 5. Advance Session of the Consultancy Service ‘Preparation of BTRs for the Countries of the Pacific Alliance and Ecuador’

| Documents/ Inputs | Description   | Link                                     |
|-------------------|---|--|
| Session agenda    | Description of the activities carried out in the session, which consisted of three moments: <ol style="list-style-type: none"> <li>1. Group activity</li> <li>2. Presentation of the consultancy service</li> <li>3. Workshop conclusions and next steps</li> </ol> | <a href="#">19.05.2023_ Agenda</a>       |
| Presentation      | Slides used in the session to present the findings of the consultancy service   | <a href="#">25.05.2023_ Presentation</a> |
| MENTI Results     | Results of the group activity carried out in the first part of the session  | <a href="#">25.05.2023_ Menti</a>        |



## Annex 6. Achievement Tracking Matrix of BTR Requirements by Country

Annex 6 shows the tracking matrix. The cells show the state in which the country is to achieve the requirement.

| BTR Chapters   | Requirements  |  | Chile             | Ecuador | Mexico | Colombia | Peru |
|--|---|--|-------------------|---------|--------|----------|------|
| National GHG Inventories (The submission includes the National Inventory Document + common tables for reporting information) | National circumstances and institutional arrangements | National entity/focal point, inventory preparation process, archiving of information for time series, inventory approval process.  | Yes               | Yes     | No     | No       | No   |
|  | Methods   | 2006 IPCC Guidelines, information on at least CO <sub>2</sub> , CH <sub>4</sub> , and N <sub>2</sub> O, and one of the following gases: HFC, PFC, SF <sub>6</sub> , and NF <sub>3</sub> , major category report for at least the first and last reporting year, inventory QA/QC plan preparation, GHG Inventory annual time series from at least the reporting period of its NDC, as well as a consistent annual time series from 2020 and the last reporting year must be no more than three years prior to the date of submission of its national inventory report (with flexibility). | Yes <sup>13</sup> | Yes     | No     | No       | No   |
|  | Measuring Systems                                     | Report of GHG aggregates including the global warming potential values of the IPCC Fifth Assessment Report (AR5)   | Yes               | No      | No     | No       | No   |
|  | Information needed                                    | Information on methods and cross-cutting elements  | Yes               | No      | No     | No       | No   |

<sup>13</sup> NF<sub>3</sub> gas does not occur in Chile.

| BTR Chapters  | Requirements  |   | Chile | Ecuador | Mexico      | Colombia | Peru |
|---|---|---|-------|---------|-------------|----------|------|
|   |   | Sectors and gases   | Yes   | No      | No          | No       | No   |
|   |   | Time series   | Yes   | No      | No          | No       | No   |
| Information needed to track progress made in implementing and achieving the NDC | National circumstances and institutional arrangements   | information to track progress made, including those used to track internationally transferred mitigation outcomes (ITMOs).  | No    | No      | No          | No       | No   |
|   | Description of the nationally determined contribution of a Party under Article 4 of the Paris Agreement, including updates                    | Including the years/periods to meet the objective, benchmark (levels, bases, base years) and their respective values, intention to use cooperative approaches involving the use of ITMOs, any clarification or updating of the information previously communicated. | Yes   | Yes     | No          | No       | No   |
|   | Information needed to track progress in implementing and achieving nationally determined contributions under Article 4 of the Paris Agreement | The whole section C of Chapter III of 18CMA-1, which includes the use of indicators to track progress in the application and achievement of the NDCs.   | Yes   | Yes     | In progress | No       | No   |

| BTR Chapters  | Requirements  | Chile | Ecuador | Mexico | Colombia | Peru |
|---|---|-------|---------|--------|----------|------|
|   | <p>Mitigation policies, actions, actions and plans, including those with secondary mitigation benefits derived from adaptation measures and/or economic diversification plans, related to the implementation and achievement of a nationally determined contribution under Article 4 of the Paris Agreement</p> <p>Information on actions, policies and measures in tabular formats, estimates of GHG emission reductions achieved and projected (flexibility), costs (flexibility), benefits not related to GHG mitigation (flexibility), how mitigation actions interact with each other (flexibility).</p> | No    | No      | No     | No       | No   |
|   | Summary of greenhouse gas emissions and removals  | Yes   | No      | No     | No       | No   |
|   | Projections of greenhouse gas emissions and removals, as appropriate  | Yes   | No      | No     | No       | No   |
|   | Other information   | No    | No      | No     | No       | No   |
| Information on the effects of climate change and adaptation efforts | National circumstances, institutional arrangements and legal frameworks   | Yes   | Yes     | Yes    | Yes      | Yes  |
|   | Impacts, risks and vulnerabilities, as appropriate  | Yes   | Yes     | Yes    | Yes      | Yes  |
|   | Priorities and barriers to adaptation   | Yes   | Yes     | Yes    | Yes      | Yes  |

| BTR Chapters                | Requirements  | Chile  | Ecuador     | Mexico  | Colombia  | Peru  |
|-----------------------------|---|--|-------------|---|---|---|
|                             | Adaptation-related strategies, policies, plans and goals, and actions to integrate adaptation into national policies and strategies   | Yes  | No          | No  | No  | No  |
|                             | Progress made in implementing adaptation measures   | Yes  | No          | No  | No  | No  |
|                             | Tracking and assessment of adaptation processes and measures  | Yes every 5 years  | In progress | Yes   | Yes   | Yes   |
|                             | Information related to efforts to avoid, minimise and address loss and damage related to the impacts of climate change  | No   | No          | No  | No  | No  |
|                             | Cooperation, good practices, experiences and lessons learned  | No   | No          | No  | No  | No  |
|                             | Any other information relating to the effects of climate change and adaptation actions under Article 7 of the Paris Agreement   | No   | No          | No  | No  | No  |
| Support received and needed | It must include information on:<br>- National circumstances and institutional arrangements<br>- Assumptions, underlying, definitions and methodologies.<br>- Information on financial support needed and received.<br>- Information on technology transfer and development needed and received. | It was decided to be included, there is no detail if they have all the information | Yes         | The inclusion of this section is subject to confirmation. | The inclusion of this section is subject to confirmation. | The inclusion of this section is subject to confirmation. |
| Information on flexibility  | It must include the following indications:<br>- Reporting provisions that are granted self-determined flexibility.<br>- Capacity constraints regarding the application of flexibility.<br>- Self-determined estimated time frames for improvements in relation to constraints.                  | No   | No          | No  | No  | No  |

| BTR Chapters  | Requirements  | Chile       | Ecuador | Mexico | Colombia | Peru |
|---|---|-------------|---------|--------|----------|------|
| Information on reports over time  | <p>Each Party should have information on:</p> <ul style="list-style-type: none"> <li>- Areas of improvement identified by the Party and by the TER in relation to the implementation of Article 13 of the Paris Agreement.</li> <li>- How the Party is addressing or intends to address areas of improvement.</li> <li>- Areas of improvement related to flexibility.</li> <li>- Capacity-building support needs in relation to reporting.</li> <li>- National plans and priorities of the Parties in relation to improving reporting.</li> </ul> | No          | No      | No     | No       | No   |
| Annex I. Technical Annex on REDD+ Results                                     | <p>This information has already been reported by some of the countries under analysis through a technical annex in their BURs from MRVs, based on decision 14/CP.19, paragraph 7. This means that there are no differences between the reporting of this technical annex with the provisions of the MRV and the ETF. The content of the technical annex will continue to be prepared in accordance with the Warsaw Framework for REDD+, but they will be reported with the BTR starting from December 2024.</p>                                   | Yes         | Yes     | Yes    | Yes      | No   |
| Annex II. Common Inventory Reporting Tables                                   | <p>Guided under decision 5/CMA.3</p>  | In progress | No      | No     | No       | No   |
| Annex III. Common tabular formats for tracking NDC progress regarding support | <p>Guided under decision 5/CMA.3 - Annexes II-IV</p>  | In progress | No      | No     | No       | No   |





| BTR Chapters  | Requirements  | Chile     | Ecuador   | Mexico    | Colombia  | Peru      |
|---|---|-----------|-----------|-----------|-----------|-----------|
| <p>Annex IV.<br/>Information on the country's participation in cooperative approaches</p> | <p>It must contain information on:</p> <ul style="list-style-type: none"> <li>- Responsibilities of participation of the Party, updating of information.</li> <li>- Contribution of the cooperative approach to GHG mitigation and implementation of the Party's NDC, ensuring environmental integrity and non-duplication.</li> <li>- Methodology for measuring mitigation results</li> </ul> <p>Safeguard</p> | <p>No</p> | <p>No</p> | <p>No</p> | <p>No</p> | <p>No</p> |