

**AD HOC WORKING GROUP ON LONG-TERM COOPERATIVE ACTION UNDER  
THE CONVENTION**  
**Fourteenth session (third part)**  
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**WORK OF THE AWG-LCA CONTACT GROUP**

**Agenda item 3.2.2**

**Nationally appropriate mitigation actions by developing country Parties**  
**version of 14 October 2011 @ 16.30**

*Non-paper by the co-facilitators*

**I. [Possible elements of draft decision text<sup>1</sup> for adoption of modalities and procedures for international consultation and analysis]**

1. *Recall relevant decisions;*
2. *Recognize that ICA will be conducted on the basis of biennial [update] reports taking into consideration the flexibility provided for in paragraph 60 of decision 1/CP.16.*
3. *Recognize need to have an efficient, cost-effective and practical system which does not pose excessive burdens on Parties, the secretariat [and other stakeholders];*
4. *[Prioritize the]/[The frequency of the] ICA process [for all developing country Parties that submit biennial [update] reports in the first round of reporting. In subsequent rounds of biennial [update] reporting, frequency of the ICA process] could be differentiated[which could be] based on [the frequency of submission of biennial [update] reports, which could be based on] a Party's [share of global GHG emissions]/[strong progress in implementation of mitigation actions or recently updated biennial report] and their capabilities. SIDS and LDCs may undergo ICA as a group of Parties at their discretion.*
5. *(..)*

*[Option 1 to paragraph 4 above]*

*[Another option could be to select a representative sample of developing countries to undergo ICA on a rotational basis].*

*Option 2 to paragraph 4 above:*

*ICA will be conducted on a biennial basis*

*[Option 3 to paragraph 4 above]*

**[Countries whose emissions represent more than X Mt CO<sub>2</sub>eq should undergo ICA after every submission of their biennial report noting that when the national communication is to be submitted the biennial report forms an integral part of that national communication.]**

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<sup>1</sup> The following section will need to be further developed taking into account these considerations.

**SIDS and LDCs can undergo an ICA process if they so request.**

**All other countries should undergo an ICA process after every submission of their national communication (which includes the biennial report) i.e. every 4 years or upon request should they wish to undergo ICA on a more frequent basis.]**

## **Possible elements of modalities and procedures for international consultation and analysis**

### **I. Objectives**

1. The overall objectives of the international consultation and analysis (ICA) of the biennial [update] reports are as follows:

- (a) To [facilitate] [enhance] the capacity-building efforts in developing country Parties;
- (b) To increase the transparency of [domestically funded] nationally appropriate mitigation actions of developing country Parties [supported by developed countries] [and their effects];
- (c) [To make information on emissions available to Parties];
- (d) To assist developing country Parties in overcoming difficulties in developing, implementing, reporting and verifying nationally appropriate mitigation actions through the sharing of best practices;
- (e) To promote continuous learning and improvement in implementing mitigation actions;
- (f) [To facilitate the information required by the Conference of the Parties to assess the implementation of the Convention];
- (g) To assist Parties in addressing technical difficulties faced in preparation of the biennial [update] reports;
- (h) To provide transparency regarding the extent to which [a Party's] mitigation actions [including those] contained in document FCCC/AWGLCA/2011/ INF.1 have been implemented.

2. In addition to the overall objectives in paragraph 1, specific objectives of technical analysis are as follows:

- (a) To determine [identify] whether the information required has been submitted;
- [**(b) To provide a thorough, objective and comprehensive technical assessment of the information reported by non-Annex I Parties.]**
- [**(c) To promote consistency and transparency of information submitted by Parties not included in Annex I;]****
- (b) [To [analyse] whether a Party's actions are implemented [and effective] in achieving their objective;]
- (c) To understand methodologies used and assumptions made;

**[**(d) To identify difficulties faced by the Party concerned with respect to development, implementation, reporting and verification of nationally appropriate mitigation actions and [upon request] provide recommendations where possible;**]**

**[**(e) To identify support needs.**]**

3. In addition to the overall objectives in paragraph 1, the specific objective of the international consultations is to promote transparency of developing country mitigation actions [and GHG emissions] **[and to provide an overview of a Party's progress in implementing its mitigation actions]** through a facilitative consultation process and to build the capacity of developing country Parties.

## **II. Principles**

4. The principles that provide the basis for the ICA are as follows:

- (a) Be non-intrusive, non-punitive, non-confrontational and respectful of national sovereignty;
- (b) Be a facilitative and cooperative process based on interactive dialogue;
- (c) **[**[Be voluntary] and fully involve**]** **[Take place in consultation with]** the Party concerned;
- (d) Take into account **[**the wider economic and development needs of the**]** **[a]** Party's **[**concerned, as well as its**]** national circumstances;
- (e) **[**Promote]**]** universal participation with**]** **[Allow for]** flexibilities for Small Island Developing States and Least Developed Countries;
- (f) **[**Not be overly burdensome on the Party concerned in terms of time, human and financial resources;]**]**
- (g) **[**Discussions regarding the appropriateness of domestic policies and measures do not form part of the ICA process];**]**
- (h) **[**ICA will not be more onerous than international assessment and review process for developed country Parties;**]**
- (i) **[**ICA will not **[**impose]**]****[make recommendations for]** new commitments on developing country Parties;**]**
- (j) **[**ICA and submission of biennial update reports are dependent on fulfilment of developed country commitment on provision of support;**]**
- (k) **[**ICA will provide a report on the support needs, including for enabling environment, required for preparation of biennial update reports from developing country Parties.**]**

## **III. Process and scope**

### *Option 1*

#### **1. Process**

5. The ICA process will consist of the following two steps and will be completed within a fixed timeframe:

(a) A technical analysis of biennial [update] reports by a team of technical experts;

[*(a) alt.* A technical analysis of biennial [update] reports through written questions and answers between the Party concerned and other Parties, facilitated by the secretariat. The technical analysis process will consist of questions posed in writing, by other Parties, on the biennial [update] reports to which the Party concerned will reply in writing. Subsequently, the secretariat will compile a synthesis of this exchange between Parties. This synthesis report would become a part of the SBI agenda, enabling international consultations.]

(b) International consultations on biennial [update] reports and expert analysis reports under the Subsidiary Body for Implementation.

## 2. Scope

[6. ICA will be based on the biennial [update] reports of developing country Parties that coincide with national communications of Parties not included in Annex I to the Convention submitted every four years and of biennial update reports submitted in intervening years.]

[6bis. ICA will be based on the biennial update reports submitted in intervening years between National Communications.]

[6. The information considered should include the national greenhouse gas inventory report, information on mitigation actions, including a description, analysis of the impacts and associated methodologies and assumptions, progress in implementation and information on domestic measurement, reporting and verification, and support received.]

### A. Technical analysis

#### 1. Inputs

7. The technical analysis of biennial [update] reports will focus on:

(a) Greenhouse gas inventories and inventory reports;

(b) Information on [unsupported] mitigation actions, their effects and associated methodologies and assumptions;

(c) [Status of] [Progress in] implementation of mitigation actions;]

(d) [Any new information on the Party's] domestic measurement reporting and verification system, including support received for it; and

(e) [Information on support received].

#### 2. Process

8. [At the commencement of an ICA cycle for each developing country Party, the secretariat will assemble a technical experts team of five to eight members, drawing from [a pool of 50] Party nominated experts [constituted for completing both ICA and IAR processes and hosted by the UNFCCC secretariat], balanced as to expertise and developed/developing country Party participation. The members of the expert team would serve in their personal capacity.]

9. The team will be supported by the secretariat staff.
10. The team will be led by two experts, one from a developing Party and the other from a developed country Party.
- [11. Two to three experts, of which at least one will be from a non-Annex I country and one from an Annex I-country, will focus on the analysis of national GHG inventories.]
12. The technical analysis of the biennial [update] reports by technical experts will [be conducted on the basis of the reporting guidelines for biennial reports, including the underlying reporting principles for GHG inventories] take place in consultation with the Party concerned, in a manner that contributes to capacity building.
13. [Experts will be authorized to meet directly with Party representatives, request additional documentation or information from the Party and conduct in-country visits, [as necessary] [at the request of the country concerned].]

14. The country concerned could respond to the questions or suggestions of the expert team [as well as propose and share any additional information or views]. [The expert team may also solicit information from other Parties or stakeholders if [incomplete information] or no national reporting were submitted].

### **3. Output**

15. The output of the technical analysis by the technical experts team will be an analysis report. [The report should include:
  - (i) A description of any potential problems in, and factors influencing the fulfilment of reporting requirements, identified during the review;
  - (ii) Any recommendations provided by the expert review team to solve the potential problems;
  - (iii) An assessment of any efforts by the Party not included in Annex I to address any potential problems identified by the expert review team.]

16. Prior to finalizing the report, the draft analysis report prepared by the expert team will be shared with the Party concerned for review and comment with the aim of resolving any difference of opinion between the expert teams and the Party on the report. The final analysis report, incorporating comments from the Party, should be made available at least two, and preferably four, weeks before the next session of the COP.

## **B. [International consultations in synergy and collaboration with local teams**

### **1. Inputs**

16. The inputs for the international consultations process are the following:
  - (a) Expert analysis reports referred to in paragraph 15 above [synthesis report];
  - (b) Biennial [update] reports.

### **2. Process**

17. Following completion of the expert analysis report, [a working group established by the SBI, open to all Parties will be convened to conduct] international consultations [will be conducted under the SBI]. Parties will be allowed to submit written questions in advance. The ICA process will consist of the following:

(a) [One to three hours] session of consultations, which will consist of a brief presentation by the Party concerned [on its progress in implementing its mitigation actions and of any challenges faced], followed by an oral question and answer session between [regional group representatives][Parties] [observer organizations] and the Party concerned. Other Parties [and organizations] could participate as observers;

[b) During the two-week period following the consultation process, any Party [and observer organization] may submit in writing follow-up questions to the Party concerned within a specified time period, for example two weeks, through the secretariat, to be answered by the Party concerned shortly thereafter, through the secretariat for example within a period of time (for example within two months).]

[c) Parties with commonalities and anticipating limited questions in connection to their reports may request to combine into a single session in a joint consultation process [open to all Parties and observer organizations].]

[18. The questions to be asked by Parties in written or oral form shall be related to the biennial reports, the expert analysis report and the presentation made by the Party, as applicable.]

### 3. Outputs

18. A summary report, prepared by the secretariat, would be [issued] [compiled by the Secretariat and made available at the UNFCCC website] to include the following:

- (a) [A technical expert analysis report referred to in paragraph 15 and 16 (a);]
- (b) [An objective record of the [discussions under the SBI] [oral consultations [in consultation with Party concerned]]];]
- (c) [The questions submitted by Parties and their answers, and any observations that the Party concerned wishes to include, which are submitted within two months of the consultations].

[*Option 2 (Option to paragraphs 5 - 18)*

The ICA process will consist of the following two steps:

- (a) Consultation on the biennial [update] reports between the team of technical experts and the Party concerned to facilitate provision of capacity-building support; and
- (b) Technical analysis of the biennial [update] reports by the team of technical experts.

This process will result in a technical summary report.]

OR

[*Option 2 alt.* The ICA process will consist of the following two steps:

- (a) The SBI will appoint a team of experts. These experts will consult with the Party concerned on the basis of its biennial [update] report.

(b) The experts will prepare a summary report to be presented to the SBI for technical analysis and for possible conclusions. The summary report will also provide information on support received for implementation of mitigation actions.]

### **C. Outcome of international consultations and analysis**

[19. The summary report would be presented to the SBI which would in turn provide advice and recommendations to the Party concerned. In response to the recommendations of the SBI, [the Party concerned should submit follow-up reports within a certain period of time].]

*Option to paragraph 19 above:*

The summary report will be noted by the SBI in its conclusions

[Option to paragraph 19 above:

The reports resulting from the ICA process shall be made publicly available at the UNFCCC website and shall be communicated to the relevant bodies under the Convention, as appropriate.]