



缔约方会议

缔约方会议第十九届会议报告，2013年11月11日至23日  
在华沙举行

增编

第二部分：缔约方会议第十九届会议采取的行动

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## 第 16/CP.19 号决定

### 适应委员会的工作

缔约方会议，

欢迎适应委员会的报告，<sup>1</sup>

关切地注意到上述报告中提到的资金短缺问题，

1. 赞赏地注意到适应委员会在执行其三年期工作计划方面取得的进展，尤其是：
  - (a) 促进《公约》之下适应工作一致性方面的进展；
  - (b) 2013 年关于适应状况的专题报告；<sup>2</sup>
  - (c) 第一次年度适应论坛；
  - (d) 设立国家适应计划工作队；
2. 欢迎详细描述三年工作流之下三年期工作计划中的活动，以加强总体一致性；
3. 鼓励适应委员会继续努力，向缔约方提供技术支助和指导，特别是在国家适应计划方面，在执行其工作计划中努力与《公约》之下的其他相关机构和方案更加一致和协同；
4. 请适应委员会考虑更加侧重于其 2014 年专题报告；
5. 还请适应委员会在履行机构第四十届会议期间安排一次特别活动，以展示其活动，并与各缔约方和其他相关利害关系方进行对话；
6. 决定适应委员会主席和副主席的职位由适应委员会联合主席的职位取代，从 2014 年适应委员会第一次会议起生效；
7. 请适应委员会就以上第 6 段对议事规则做出必要变更；
8. 感谢德国、日本和挪威政府以及欧盟委员会提供资金和实物捐助，支持适应委员会的工作，并感谢斐济政府主办适应委员会第四次会议以及适应监测和评价研讨会；
9. 欢迎适应委员会努力更有效地利用现有资源，包括通过加强与《公约》其他组成机构合作；
10. 鼓励适应委员会酌情利用《公约》以外各相关组织、中心和网络的资源、能力和专门知识，以支持其工作；

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<sup>1</sup> FCCC/SB/2013/2。

<sup>2</sup> 可查阅<[unfccc.int/6997.php#AC](http://unfccc.int/6997.php#AC)>。

11. 重申鼓励缔约方为成功和及时执行适应委员会三年期工作计划提供充分资源。<sup>3</sup>

第十次全体会议  
2013年11月22日

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<sup>3</sup> 第11/CP.18号决定，第6段。

## 第 17/CP.19 号决定

### 关于气候变化的影响、脆弱性和适应问题的内罗毕工作方案

缔约方会议，

回顾第 2/CP.11、1/CP.16 和 6/CP.17 号决定，

认识到与气候变化的影响、脆弱性和适应相关的科技信息与知识需要正在不断演变，

又认识到在适应气候变化方面利用土著和传统知识和做法以及采取对性别敏感的方法和工具十分重要，

注意到需要在执行《关于气候变化的影响、脆弱性和适应问题的内罗毕工作方案》过程中现已获得的经验、建立的伙伴关系和创造的知识的基础上继续向前推进，

欢迎适应委员会的报告，<sup>1</sup>

1. 决定在第 2/CP.11 号决定的规定框架内继续执行《关于气候变化的影响、脆弱性和适应问题的内罗毕工作方案》，满足尤其是源于《坎昆适应框架》和《公约》之下的其他有关工作流程和机构的知识需要和缔约方提出的知识需要；
2. 还决定，尤其应在以下方面提高《内罗毕工作方案》的相关性：
  - (a) 与实际问题相关、有适应工作者参与其中的相辅相成的活动；
  - (b) 与其他有关工作流程，包括国家适应规划进程和《公约》下的研究和系统观测和机构(包括适应委员会、最不发达国家专家组和技术机制)建立联系；
  - (c) 回应缔约方所确定的需要，开发知识产品，以更好地理解 and 评估影响、脆弱性和适应问题；
  - (d) 支持通过知识网络和国家联络点等途径，在区域、国家和地方各级有效传播知识产品，特别是在发展中国家；
3. 认识到应提高《内罗毕工作方案》各种模式的有效性，包括通过：
  - (a) 改进《内罗毕工作方案》下的知识产品的相关性和传播，向区域、国家和地方各级的适应规划和行动提供支持；
  - (b) 改进使《内罗毕工作方案》伙伴组织、适应工作者和专家(包括区域中心和网络)参与工作和开展合作的方法，以更好地向区域、国家和地方各级的适应规划和行动提供支持；
  - (c) 进一步发展《内罗毕工作方案》联络点论坛；

<sup>1</sup> FCCC/SB/2013/2。

4. 请附属科学技术咨询机构第四十届会议(2014 年 6 月)审议藉以提高以上第 3 段所述模式的有效性的方法;
5. 又请附属科学技术咨询机构审议以下各项问题:
  - (a) 生态系统;
  - (b) 人类住区;
  - (c) 水资源;
  - (d) 健康;
6. 还请附属科学技术咨询机构第四十一届会议(2014 年 12 月)酌情进一步讨论需在《内罗毕工作方案》下审议的问题;
7. 决定,《内罗毕工作方案》下的活动应纳入性别问题、土著和传统知识以及生态系统的作用和对生态系统的影响;
8. 鼓励缔约方、《内罗毕工作方案》伙伴组织和适应工作者,通过以下途径,支持有效在执行《内罗毕工作方案》:加强与(尤其是发展中国家的)区域中心和网络(它们在区域和国家各级提供和传播信息和知识)的合作;
9. 还鼓励《内罗毕工作方案》伙伴组织,为有效执行《内罗毕工作方案》提供支持,报告为履行行动承诺采取的相关行动及取得的结果并回应行动呼吁;
10. 请适应委员会,根据其授权和职责,向在《内罗毕工作方案》下开展的活动提供进一步建议;
11. 促请发达国家缔约方,提供支持,包括资金支持,促进执行《内罗毕工作方案》;
12. 请其他缔约方、组织、机构和《内罗毕工作方案》伙伴组织酌情提供支持,促进执行《内罗毕工作方案》;
13. 请附属科学技术咨询机构:
  - (a) 第四十届会议审议并进一步拟订在执行《内罗毕工作方案》方面需开展的额外活动,包括此类活动的时间表;
  - (b) 第四十四届会议(2016 年 5 月)总结《内罗毕工作方案》的执行进展情况,并进一步拟订需开展的额外活动,包括此类活动的时间表;
  - (c) 第四十八届会议审查《内罗毕工作方案》,以进一步提高其相关性和有效性,并向缔约方会议第二十四届会议报告。

第十次全体会议  
2013 年 11 月 22 日

## 第 18/CP.19 号决定

### 国家适应计划

缔约方会议，

忆及第 1/CP.16 号、第 5/CP.17 号和第 12/CP.18 号决定，

申明可通过在各级尽早进行综合规划并采取行动实现最大价值的适应，

重申必须在可持续发展的大背景下处理适应规划，

注意到处理气候变化风险和影响将有助于实现长期可持续发展，

忆及国家一级的适应规划是一个连续、渐进和迭代的进程，其实施应依据本国确定的优先事项，包括有关国家文件、计划和战略中列出的优先事项，并与国家可持续发展目标、计划、政策和方案相协调，

1. 强调开展国家适应计划进程是对未来的投资，将使各国能够以连贯和战略性的方式评估适应需求，并确定其优先次序；
2. 欢迎国家适应计划进程技术指南，<sup>1</sup> 该指南将协助最不发达国家缔约方开展国家适应计划进程，亦可供其他缔约方使用；
3. 还欢迎为最不发达国家设立国家适应计划全球支持方案，<sup>2</sup> 以便利向最不发达国家缔约方提供技术支持；
4. 请发达国家缔约方、联合国组织、专门机构和其他相关组织以及双边和多边机构继续对最不发达国家缔约方和其他不在最不发达国家之列的相关发展中国家缔约方的国家适应计划进程增加资金和技术支持；
5. 还请联合国组织、专门机构和其他相关组织以及双边和多边机构考虑在其任务授权范围内，酌情制定或加强对国家适应计划进程的支持方案，这可能便利向不在最不发达国家之列的发展中国家缔约方提供资金和技术支持，并于 2014 年 3 月 26 日之前向秘书处提交资料，说明它们是如何响应这一邀请的；
6. 进一步请缔约方和相关组织在 2014 年 3 月 26 日之前提交关于应用“制定国家适应计划的初步指南”<sup>3</sup> 的有关经验的资料，以及与制定和落实国家适应计划相关的任何其他资料，供秘书处汇编成杂项文件，以供附属履行机构第四十届会议(2014 年 6 月)审议；

<sup>1</sup> <[unfccc.int/7279](http://unfccc.int/7279)>。

<sup>2</sup> 由联合国开发计划署和联合国环境规划署与其他组织和机构合作实施。更多信息可查阅 <<http://www.undp-alm.org/projects/naps-ldcs>>。

<sup>3</sup> 第 5/CP.17 号决定，附件。

7. 决定在考虑到以上第 6 段所述材料的情况下，在第二十届会议(2014 年 12 月)上继续总结并在必要时修订“制定国家适应计划的初步指南”。

第十次全体会议  
2013 年 11 月 22 日

## 第 19/CP.19 号决定

### 非《公约》附件一所列缔约方国家信息通报问题专家咨询小组的工作

缔约方会议，

忆及《公约》的有关条款，尤其是第四条第 1、3 和 7 款，以及第十二条第 1、4、5 和 7 款，

还忆及第 8/CP.5、3/CP.8、17/CP.8、8/CP.11、5/CP.15、1/CP.16、2/CP.17、14/CP.17、17/CP.18 和 18/CP.18 号决定，

承认非《公约》附件一所列缔约方国家信息通报问题专家咨询小组为改进非《公约》附件一所列缔约方(非附件一缔约方)国家信息通报编制进程作出很大贡献，为此提供技术咨询和支持，增强了这些缔约方编制国家信息通报的能力，

忆及第 1/CP.16 号决定第 60 段，其中决定加强非附件一缔约方在国家信息通报方面的报告工作，并强调专家咨询小组可继续为编制两年期更新报告提供技术咨询和支持，

强调为国家信息通报和两年期更新报告编制进程提供相关的技术咨询和支持的重要性，以及为非附件一缔约方提供论坛，交流这一进程的的经验的重要性，

确认发展中国家在加强报告过程中需要得到更多支持，

还确认编制国家信息通报和两年期更新报告是一个连续的过程，

1. 决定继续设立非《公约》附件一所列缔约方国家信息通报问题专家咨询小组，任期五年，从 2014 年到 2018 年；
2. 还决定专家咨询小组在执行其任务时，应按照本决定附件中经修订的职权范围履行职责；
3. 进一步决定专家咨询小组的成员应与第 3/CP.8 号决定附件第 3 至 8 段所述要求相同；
4. 决定专家咨询小组应由列入《公约》专家名册的专家组成，他们至少应在国家信息通报或两年期更新报告等领域之一具有符合有关指南的专门知识；<sup>1</sup>

<sup>1</sup> 载于第 17/CP.8 号决定附件的“未列入《公约》附件一的缔约方国家信息通报编制指南”，载于第 2/CP.17 号决定附件一的“未列入《公约》附件一的缔约方《气候公约》两年期更新报告指南”。



5. 鼓励各区域集团在为专家咨询小组提名专家人选时，力求确保以上第 4 段所述专业领域的均衡代表性，并按照第 36/CP.7 和第 23/CP.18 号决定考虑到性别平衡；
6. 请秘书处公布专家咨询小组成员名单，包括其各自的专业领域以及与国家信息通报和/或两年期更新报告有关的经验，并向附属履行机构通报此类任命；
7. 还请专家咨询小组每年向附属履行机构提交工作进展报告，供在与缔约方会议届会同时召开的附属履行机构届会期间审议；
8. 决定在第二十二届会议(2016 年 11-12 月)期间，审查专家咨询小组的任务和职权范围，以在同一届会议上通过一项决定；
9. 请秘书处通过以下方式促进专家咨询小组的工作：
  - (a) 组织咨询小组的会议和研讨会，汇编会议和研讨会报告，供附属履行机构审议；
  - (b) 根据要求，在非附件一缔约方的国家信息通报或两年期更新报告进程和编制方面，向专家咨询小组提供技术支持；
  - (c) 联络其他有关多边方案和组织，根据要求向专家咨询小组提供国家信息通报和两年期更新报告编制方面的额外资金和技术支持；
  - (d) 向缔约方及其他有关专家和组织传播专家咨询小组编写的信息材料和技术报告；
  - (e) 向专家咨询小组提供援助，包括技术和后勤支持，以在专家咨询小组的最新培训材料基础上，为提名技术专家制定和组织适当的培训方案，目的是改进技术分析，同时考虑到非附件一缔约方在编写两年期更新报告时遇到的困难。
10. 促请《公约》附件二所列发达国家缔约方和其他有能力的发达国家缔约方提供财政资源，以加强秘书处对专家咨询小组工作的支持，并支持专家咨询小组工作的全面运作；
11. 注意到以上第 9 段要求秘书处采取的行动以及本决定附件中所载行动所涉概算问题，如秘书处所说明，；
12. 还注意到，核定的 2014-2015 两年期秘书处核心预算，无法满足执行以上第 9 段和本决定附件中提及的有关行动导致的额外资源要求；
13. 请秘书处在具备资金的情况下采取本决定要求采取的行动。

## 附件

### 非《公约》附件一所列缔约方国家信息通报问题专家咨询小组职权范围

1. 非《公约》附件一所列缔约方国家信息通报问题专家咨询小组(专家咨询小组)的目标是,改进非《公约》附件一所列缔约方(非附件一缔约方)国家信息通报进程和编制,为此向此类缔约方提供技术咨询和支持;

2. 专家咨询小组在履行职责时,应:

(a) 就影响非附件一缔约方国家信息通报和两年期更新报告的进程和编制的问题和限制,确认并提供技术援助;

(b) 向非附件一缔约方提供技术援助和支持,根据载于第 17/CP.8 号决定附件的“未列入《公约》附件一的缔约方国家信息通报编制指南”和载于第 2/CP.17 号决定附件一的“未列入《公约》附件一的缔约方《气候公约》两年期更新报告指南”,促进其国家信息通报和两年期更新报告的进程和编制;

(c) 向非附件一缔约方提供技术咨询,促进国家信息通报和两年期更新报告编制进程的发展和长期持续,包括制定适当的体制安排,建立和保持国家技术队伍,以持续编制国家信息通报和两年期更新报告,包括温室气体清单;

(d) 酌情提出建议,显示非附件一缔约方编制国家信息通报和两年期更新报告指南的未来修订应考虑的因素,同时考虑到非附件一缔约方在编制国家信息通报和两年期更新报告时遇到的困难;

(e) 根据请求向缔约方提供技术咨询和支持,以及关于现有活动和方案的信息,包括双边、区域和多边资金和技术援助来源的信息,以促进和支持非附件一缔约方编制国家信息通报和两年期更新报告;

(f) 根据请求,向缔约方提供技术咨询和支持,协助其提供信息,说明如何按照《公约》第四条第 1 款(f)项采取步骤,将气候变化考虑纳入有关社会、经济和环境政策和行动;

(g) 基于非附件一缔约方在国家信息通报和两年期更新报告进程和编制方面可能的经验教训和最佳做法,提供信息和技术咨询,包括关于资金和其他现有支持的信息和技术咨询;

(h) 向秘书处提供指导和定期咨询,协助其按照第 20/CP.19 号决定附件第 3-5 段,执行技术专家小组组成的遴选标准,同时考虑到秘书处在这方面提交的半年期报告;

(i) 在秘书处协助下,利用专家咨询小组的最新培训材料,最迟于 2014 年,为提名技术专家制定和组织适当的培训方案,以改进技术分析,同时考虑到非附件一缔约方在编制两年期更新报告时遇到的困难。

3. 专家咨询小组在拟订和执行其工作方案时，应考虑到各《公约》专家组的其  
他相关工作，以避免工作的重叠；
4. 如有必要，专家咨询小组应修订其议事规则；
5. 专家咨询小组应在 2014 年第一次会议上拟定 2014-2018 年工作方案；
6. 专家咨询小组应就以上第 2 段所指事项提出建议，供附属履行机构酌情  
审议。

第十次全体会议  
2013 年 11 月 22 日

## 第 20/CP.19 号决定

### 国际磋商和分析之下的技术专家小组的组成、模式和程序

缔约方会议，

忆及第 1/CP.16 和 2/CP.17 号决定，其中确定了在附属履行机构之下对两年期更新报告进行国际磋商和分析的程序，旨在提高减缓行动的透明度和效果，并通过了国际磋商和分析的模式和指南，

指出国际磋商和分析应是非侵扰性、非处罚性的，并尊重国家主权，

认识到需要一个高效率、成本有效和切合实际且不对缔约方或秘书处造成过度负担的国际磋商和分析程序，

还认识到非《公约》附件一所列缔约方(非附件一缔约方)在《公约》之下提交报告面临的困难，以及需要顾及国家能力和国情、需要建设能力，而且需要及时向非附件一缔约方提供资金支持，为其及时编制两年期更新报告提供便利，

进一步认识到非《公约》附件一所列缔约方国家信息通报问题专家咨询小组也可发挥重要作用，为缔约方编制和提交两年期更新报告提供技术咨询和支助；

1. 通过第 2/CP.17 号决定附件四第 1 段所述技术专家小组的组成、模式和程序，载于附件；
2. 请缔约方提名具备相关资历的技术专家，纳入《气候公约》专家名册；
3. 请秘书处保持和更新《气候公约》专家名册；
4. 还请非《公约》附件一所列缔约方国家信息通报专家咨询小组为被提名技术专家制定和提供适当的培训方案，考虑到第 2/CP.17 号决定附件三和附件四，以非《公约》附件一所列缔约方国家信息通报专家咨询小组的最新培训资料作为基础，旨在改善技术分析工作，同时考虑非《公约》附件一所列缔约方在编制两年期更新报告方面遇到的困难；
5. 鼓励《公约》附件二所列发达国家缔约方和其他有条件的发达国家缔约方为秘书处开展以上第 3 段提出的行动以及附件所载条款要求的行动提供所需资金；
6. 还鼓励发达国家缔约方和《公约》附件二所列其他发达国家缔约方按照《公约》第四条第 3 款，在议定全额费用基础上，提供新的和额外的资金，以期支持国际磋商和分析所需的任何报告；
7. 请秘书处在具备资金的情况下，开展本决定中提出的行动及附件所载条款要求的行动。

## 附件

### 对非《公约》附件一所列缔约方两年期更新报告进行技术分析的技术专家小组的组成、模式和程序

1. 本文件的目的是详细说明第 2/CP.17 号决定附件四第 3 段所指技术专家小组的组成、模式和程序，专家小组的任务是以非侵扰性、非处罚性和尊重国家主权的方式，对非《公约》附件一所列缔约方(非附件一缔约方)的两年期更新报告进行技术分析。根据第 1/CP.16 号决定第 64 段，这一任务不包括对这类国内政策和措施是否适当的讨论。
2. 秘书处将为技术专家小组提供行政支助。在遴选技术专家小组成员方面，秘书处将接受非《公约》附件一所列缔约方国家信息通报问题专家咨询小组(专家咨询小组)的指导，专家咨询小组定期向秘书处提供咨询，协助秘书处按照本附件第 3 段和第 5 段的要求满足标准。秘书处将就技术专家小组的组成情况，每半年向专家咨询小组报告一次。
3. 一个技术专家小组应由经提名被纳入《气候公约》专家名册的专家组成，需考虑所需的专门知识，以包括两年期更新报告以及第 2/CP.17 号决定附件四 3(a) 段所载各个信息领域，同时考虑相关缔约方的国情。
4. 专家咨询小组的培训方案一经确定，只有那些成功完成本决定第 4 段所述专家咨询小组培训方案的被提名专家有资格在技术专家小组任职。技术专家小组应优先考虑并尽可能做到至少纳入一名专家咨询小组成员，咨询小组成员最多可占技术专家小组三分之一的名额。在确定技术专家小组其他专家时，应优先考虑曾担任专家咨询小组成员的专家。
5. 技术专家小组的组成应确保在技术专家小组的总体构成中，来自非附件一缔约方的专家占大多数。应尽一切努力，确保从《公约》非附件一缔约方和附件一缔约方中挑选的专家的地域平衡。每个技术专家小组应由两名专家联合牵头：其中一人来自附件一缔约方，另一人来自非附件一缔约方。联合牵头的专家应确保根据本附件和第 2/CP.17 号决定附件四，开展他们参加的技术分析。
6. 参与的专家应以个人身份任职。专家既不是两年期更新报告正在接受分析的缔约方的国民、并非由该缔约方提名，也不曾参加编写正在接受分析的两年期更新报告。同一技术专家小组不得对同一缔约方的后续两年期更新报告进行技术分析。
7. 对两年期更新报告的技术分析应由一个技术专家小组在一个单独地点进行。一个技术专家小组可进行一系列单独的技术分析，对若干两年期更新报告进行分析。根据第 2/CP.17 号决定第 58(d)段，小岛屿发展中国家和最不发达国家缔约方可自行酌定作为一个缔约方集团接受国际磋商和分析。

8. 两年期更新报告技术分析的成果应体现为对收到和分析的每份两年期更新报告编写一份单独的摘要报告。
9. 技术专家小组应在技术分析开始后三个月之内完成以上第 8 段所述摘要报告草稿。摘要报告草稿应转交相关非附件一缔约方，供其在收到草稿后三个月之内发表意见和评论。
10. 技术专家小组应对以上第 9 段所述缔约方的评论做出回应并收录评论，经过与相关缔约方磋商，在收到评论后三个月内对摘要报告定稿。
11. 附属履行机构应在结论中提及以上第 10 段所述摘要报告，应在《气候公约》网站上公开发布该报告。
12. 在技术分析期间，相关缔约方可按照第 2/CP.17 号决定附件四第 4 段的要求，向技术专家小组提供补充技术信息。
13. 如果缔约方提供的一些补充技术信息根据相关缔约方的国内法属于保密范畴，则这一信息的保密性应受到技术专家小组的保护。
14. 以上第 13 段所述技术专家小组成员不得泄露机密信息的义务在其从技术专家辞职后继续有效。
15. 国际磋商和分析中的技术分析旨在提高减缓行动的透明度和效果；讨论这类国内政策和措施是否适当不属于这一进程。技术专家小组应：
  - (a) 查明相关缔约方的两年期更新报告在多大程度上纳入了第 2/CP.17 号决定附件四所载指南第 3(a)段中列举的信息要点；
  - (b) 对相关缔约方按照第 2/CP.17 号决定附件三所载“非《公约》附件一所列缔约方《气候公约》两年期更新报告指南”提交的两年期更新报告所载信息及任何补充技术信息进行技术分析；
  - (c) 与相关缔约方磋商，查明其能力建设需要，以便利其依照第 2/CP.17 号决定附件三提交报告，以及依照第 2/CP.17 号决定附件四参加国际磋商和分析，同时考虑到《公约》第四条第 3 款。

第十次全体会议  
2013 年 11 月 22 日

## 第 21/CP.19 号决定

### 关于发展中国家缔约方对国内支助的适合本国的减缓行动进行国内衡量、报告和核实的一般指南

缔约方会议，

忆及第 1/CP.16 号和第 2/CP.17 号决定，

认为关于发展中国家缔约方对国内支助的适合本国的减缓行动进行国内衡量、报告和核实的一般指南应该自愿、务实、非指令性和非侵扰性，应考虑到国家的情况和国家的优先事项，尊重适合本国的减缓行动的多样性，基于现有国内制度和能力，承认现有国内衡量、报告和核实制度，并提倡采取成本效益高的办法。

1. 通过附件所载关于发展中国家缔约方对国内支助的适合本国的减缓行动进行国内衡量、报告和核实的一般指南；
2. 请发展中国家缔约方在自愿基础上使用附件所载指南；
3. 大力鼓励《公约》附件二所列发达国家缔约方和其他有能力的发达国家缔约方，按照《公约》相关条款，向有兴趣的发展中国家缔约方提供支助，包括资金、技术和能力建设支助，并通过实施工作满足国家确定的具体能力建设需求。

## 附件

### 关于发展中国家缔约方对国内支助的适合本国的减缓行动进行国内衡量、报告和核实的一般指南

#### A. 原则

1. 这些指南是一般性、自愿、务实、非指令性、非侵入性和国家驱动，考虑到国家的情况和国家的优先事项，尊重适合本国的减缓行动的多样性，基于现有国内制度和能力，承认现有国内衡量、报告和核实制度，并提倡采取成本效益高的办法。<sup>1</sup>

#### B. 目的

2. 目的是基于上述议定原则，提供一般指南，供发展中国家缔约方自愿使用，来说明对国内支助的适合本国的减缓行动进行国内衡量、报告和核实的情况。

#### C. 承认、使用和报告对适合本国的减缓行动的国内衡量、报告和核实工作

3. 鼓励发展中国家缔约方利用现有国内进程、安排或系统，包括国内现有的信息、方法学、专家和其他方面，来进行国内的衡量、报告和核实工作。另外，发展中国家缔约方也不妨自愿建立对国内支助的适合本国的减缓行动进行国内衡量、报告和核实工作的国内进程、安排和系统。

4. 发展中国家缔约方可参照国家的情况、能力和优先事项，说明所采取的一般做法：

(a) 适当时建立和/或酌情承认对国内支助的适合本国的减缓行动进行国内衡量、报告和核实的机构、实体、安排和系统；

(b) 衡量国内支助的适合本国的减缓行动，包括收集和管理可获得的相关资料并记录有关方法；

(c) 核实国内支助的适合本国的减缓行动，包括使用国内专家和采用国内开发的程序，从而提高核实进程的成本效益。

第十次全体会议  
2013年11月22日

<sup>1</sup> FCCC/SBSTA/2012/5，第89段。



## 第 22/CP.19 号决定

### 《公约》附件一所列缔约方第六次国家信息通报

缔约方会议，

忆及《公约》第二条、第三条第 1 款、第四条第 2 款(a)和(b)项、第十二条以及《公约》的其他有关规定，

还忆及 2/CP.1、3/CP.1、6/CP.3、11/CP.4、4/CP.5、33/CP.7、4/CP.8、1/CP.9、7/CP.11、10/CP.13、9/CP.16、2/CP.17 和 19/CP.18 号决定，

强调《公约》附件一所列缔约方(附件一缔约方)提交的国家信息通报和年度温室气体清单是审评这些缔约方执行《公约》情况的主要资料来源，这些国家信息通报的深入审评报告又为此提供了重要的补充信息，

忆及根据第 2/CP.1、6/CP.3、11/CP.4、33/CP.7 和 9/CP.16 号决定，秘书处编写了关于附件一缔约方提交的各次国家信息通报所提供信息的汇编和综合报告，供缔约方会议审议

还忆及缔约方会议第 2/CP.17 号决定，请秘书处编写发达国家缔约方在两年期报告中报告的信息的汇编和综合报告，供缔约方会议第二十届会议(2014 年 12 月)和以后的届会按照《公约》第七条第 2 款(g)项审议，

进一步忆及按照第 9/CP.16 和 2/CP.17 号决定的规定，附件一缔约方提交第六次国家信息通报和发达国家缔约方提交第一次两年期报告的日期为 2014 年 1 月 1 日，发达国家缔约方的两年期报告应作为国家信息通报的附件提交，或另作为一份报告提交，

1. 请《公约》附件一所列缔约方(附件一)缔约方按照第 9/CP.16 和 2/CP.17 号决定提交其第六次国家信息通报；
2. 请秘书处编写附件一缔约方在第六次国家信息通报中所报告信息的汇编和综合报告，供缔约方会议第二十届会议按照《公约》第七条第 2 款(g)项审议。

第十次全体会议  
2013 年 11 月 22 日

## 第 23/CP.19 号决定

### 关于修订包括国家清单审评在内的发达国家缔约方两年期报告和国家信息通报审评指南的工作方案

缔约方会议，

忆及《公约》的有关规定，特别是第四条和第十二条，以及关于《公约》附件一所列缔约方国家信息通报和国家温室气体清单的第 2/CP.1、9/CP.2、6/CP.3、6/CP.5、33/CP.7、19/CP.8、12/CP.9、18/CP.10 和 1/CP.13 号决定，

并忆及第 1/CP.16 和 2/CP.17 号决定，其中决定在附属科学技术咨询机构之下确立一个工作方案，以期不迟于缔约方会议第十九届会议完成修订包括国家清单审评在内的两年期报告和国家信息通报审评指南，

注意到修订国家信息通报和两年期报告审评指南的工作将在缔约方会议第十九届会议之前完成，而修订温室气体清单审评指南的工作将在缔约方会议第二十届会议(2014 年 12 月)之前完成，

认识到有必要采用效率高、成本效益高和务实的审评进程，不对缔约方或秘书处产生过度负担，

审议了附属科学技术咨询机构的有关建议，

1. 通过附件所载“根据《公约》报告的关于《公约》附件一所列缔约方温室气体清单、两年期报告和国家信息通报的信息的技术审评指南”(下称审评指南)；
2. 决定从 2014 年起采用审评指南对第一次两年期报告和第六次国家信息通报进行审评，并在缔约方会议决定作出任何修订之前，对以后的两年期报告和国家信息通报进行审评；
3. 请秘书处在具备资金的情况下，开展结论中要求的行动。

## Annex

[English only]

### **Guidelines for the technical review of information reported under the Convention related to greenhouse gas inventories, biennial reports and national communications by Parties included in Annex I to the Convention**

#### **PART I: STRUCTURE OF THE REVIEW GUIDELINES**

1. The UNFCCC guidelines for review of annual inventories are composed of Part II and Part III of these guidelines.
2. The UNFCCC guidelines for review of biennial reports are composed of Part II and Part IV of these guidelines.
3. The UNFCCC guidelines for review of national communications are composed of Part II and Part V of these guidelines.

#### **PART II: GENERAL APPROACH TO THE REVIEW**

##### **A. Applicability**

4. Information provided by Parties included in Annex I to the Convention (Annex I Parties) in their greenhouse gas (GHG) inventories, biennial reports (BRs) and national communications (NCs) will be subject to reviews pursuant to relevant decisions of the Conference of the Parties (COP), in accordance with the provisions of these guidelines.

##### **B. Objectives**

5. The objectives of the review of information reported under the Convention related to GHG inventories, BRs and NCs and pursuant to relevant decisions of the COP are the following:
  - (a) To provide, in a facilitative, non-confrontational, open and transparent manner, a thorough, objective and comprehensive technical review of all aspects of the implementation of the Convention by individual Annex I Parties and Annex I Parties as a whole;
  - (b) To promote the provision of consistent, transparent, comparable, accurate and complete information by Annex I Parties;
  - (c) To assist Annex I Parties in improving their reporting of information contained in GHG inventories, BRs and NCs and pursuant to other relevant decisions of the COP and the implementation of their commitments under the Convention;
  - (d) To ensure that the COP has accurate, consistent and relevant information in order to review the implementation of the Convention.
6. The objectives of the review guidelines are to promote consistency, comparability and transparency in the review of information reported under the Convention related to GHG inventories, BRs and NCs.

### **C. General approach**

7. The provisions of these guidelines will apply to the review of information reported under the Convention related to GHG inventories, BRs and NCs and pursuant to relevant decisions of the COP.

8. Specific provisions for the review of GHG inventories, NCs and BRs are included in specific parts of these review guidelines.

9. The same information submitted by an Annex I Party in its BR, NC and GHG inventory will be reviewed only once, by an expert review team (ERT).

10. The ERTs shall provide a thorough and comprehensive technical review of all aspects of the implementation of the Convention by Annex I Parties and shall identify any potential issues referred to in paragraphs XX (inventory section), 64 and 78 below. The ERTs shall conduct technical reviews to provide information expeditiously to the COP in accordance with the procedures detailed in these guidelines.

11. At any stage in the review process, the ERTs may put questions to, or request additional or clarifying information from, the Annex I Parties under review regarding identified issues. The ERTs should offer suggestions and advice to those Annex I Parties on how to resolve such issues, taking into account the national circumstances of the Party under review. The ERTs shall also provide technical advice to the COP or the Subsidiary Body for Implementation (SBI), upon request.

12. The Annex I Parties under review should provide the ERTs with access to the information necessary to substantiate and clarify the implementation of their commitments under the Convention, in accordance with the relevant reporting guidelines adopted by the COP, and, during in-country visits, should also provide appropriate working facilities. The Parties should make every reasonable effort to respond to all questions and requests of the ERTs for additional clarifying information.

#### Confidentiality

13. In response to a request from the ERT for additional data or information, or access to data used in the preparation of the GHG inventory, BR and NC reports, an Annex I Party may indicate whether such information or data are confidential. In such a case, the Party should provide the basis for protecting such information, including any domestic law, and, upon receipt of assurance that the data will be maintained as confidential by the ERT, will submit the confidential data in accordance with domestic law and in a manner that allows the ERT access to sufficient information or data for the assessment of the implementation of the commitments under the Convention by Annex I Parties and the conformity with the relevant methodological guidance as agreed by the COP. Any confidential information or data submitted by a Party in accordance with this paragraph shall be maintained as confidential by the ERT, in accordance with any decisions on this matter adopted by the COP.

14. An ERT member's obligation not to disclose confidential information and data submitted by a Party in accordance with paragraph 13 above shall continue after the termination of his or her service on the ERT.

### **D. Timing and procedures**

#### **I. Review of greenhouse gas inventories<sup>1</sup>**

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<sup>1</sup> Placeholder for paragraphs XX–XX on the UNFCCC guidelines for review of annual inventories.

15. Each GHG inventory submitted under the Convention by an Annex I Party will be subject to review, in accordance with part II and part III of these guidelines.

## II. Review of biennial reports

16. Each BR submitted under the Convention by an Annex I Party will be subject to a review by an ERT, in accordance with part II and part IV of these guidelines.

17. The ERTs shall make every effort to complete the individual review of BRs within 15 months of the due date of their submission for each Annex I Party.

18. In the years when NCs and BRs are submitted together, both the NC and BR will be subject to an in-country review.

19. In the years when the BR is not reported in conjunction with the NC, the BR shall be subject to a centralized review. However, the ERT, based on the findings of the review,<sup>2</sup> can recommend that the next review be an in-country review and, upon a Party's request, the secretariat shall organize an in-country review for that Party.

20. The secretariat, where appropriate, may consider other UNFCCC review processes when coordinating BR and NC reviews, in particular with a view to addressing the need to improve the cost-effectiveness of the review process and national circumstances.

## III. Review of national communications

21. The ERTs shall make every effort to complete the individual review of NCs within 15 months of the due date of their submission for each Annex I Party.

22. Each NC submitted under the Convention by an Annex I Party shall be subject to a scheduled in-country review by an ERT, in accordance with part II and part V of these guidelines.

23. The secretariat, where appropriate, shall consider other UNFCCC review processes when coordinating BR and NC reviews, in particular with a view to addressing the need to improve the cost-effectiveness of the review process and national circumstances.

## E. **Expert review teams and institutional arrangements**

### I. Expert review teams

24. Each submission of information reported under the Convention related to GHG inventories, BRs and NCs and pursuant to relevant decisions of the COP shall be assigned to a single ERT, which shall be responsible for performing the review thereof in accordance with the procedures and time frames established in these guidelines. The submissions of an Annex I Party shall not be reviewed in two successive reviews by an ERT with identical composition.

25. Each ERT shall provide a thorough and comprehensive technical review of the information reported under the Convention related to GHG inventories, BRs and NCs and pursuant to relevant decisions of the COP and shall, under its collective responsibility, prepare a review report, assessing the implementation of the commitments of the Annex I Party and identifying any potential issues referred to in paragraphs XX (GHG inventory section), 64 and 78 below. The ERTs shall refrain from making any political judgement.

26. The ERTs shall be coordinated by the secretariat and shall be composed of experts selected on an ad hoc basis from the UNFCCC roster of experts and shall include lead reviewers. The ERTs formed to carry out the tasks under the provisions of these guidelines may vary in size and composition, taking into account the national circumstances of the Party under review, the format of the review, the number of reports and the different needs

<sup>2</sup> The findings from the ERT are related to issues indicated in paragraph 64 below.

for expertise for each review task. Additional experts may be added to a review team where necessary.

27. Participating experts shall serve in their personal capacity.

28. Experts shall be nominated by Parties to the Convention to the UNFCCC roster of experts and, as appropriate, by intergovernmental organizations.

29. Participating experts shall have recognized competence in the areas to be reviewed in accordance with these guidelines. The training to be provided to the experts, and the subsequent assessment after the completion of the training<sup>3</sup> and/or any other means needed to ensure the necessary competence of the experts for their participation in ERTs, shall be designed and operationalized by the secretariat in accordance with relevant decisions of the COP.

30. Experts selected for a specific review activity shall neither be nationals of the Party under review nor be nominated or funded by that Party.

31. Participating experts from Parties not included in Annex I to the Convention (non-Annex I Parties) and Annex I Parties with economies in transition shall be funded according to the existing procedures for participation in UNFCCC activities. Experts from other Annex I Parties shall be funded by their governments.

32. In conducting reviews, the ERTs shall adhere to these guidelines and work on the basis of established and published procedures agreed upon by the COP and the Subsidiary Body for Scientific and Technological Advice (SBSTA), including quality assurance and control and confidentiality provisions.

#### II. Competences of the expert review teams

33. The competences required to be a member of an ERT for the technical review of GHG inventories are in the areas to be covered in part III of these guidelines.

34. The competences required to be a member of an ERT for the technical review of BRs are in the areas referred to in paragraph 59(c) in part IV of these guidelines.

35. The competences required to be a member of an ERT for the technical review of NCs are in the areas referred to in paragraph 77(c) below in part V of these guidelines.

#### III. Composition of the expert review teams

36. The secretariat shall select the members of the ERTs to review the GHG inventories, BRs and NCs submitted under the Convention and pursuant to relevant decisions of the COP in such a way that the collective skills and competencies of the ERTs address the areas mentioned in paragraphs 33, 34 and 35 above, respectively.

37. The secretariat shall select the members of the ERTs with a view to achieving a balance between experts from Annex I and non-Annex I Parties in the overall composition of the ERTs, without compromising the selection criteria referred to in paragraph 36 above. The secretariat shall make every effort to ensure geographical balance among the experts selected from non-Annex I Parties and among those selected from Annex I Parties.

38. The secretariat shall ensure that in any ERT one co-lead reviewer shall be from an Annex I Party and one from a non-Annex I Party.

39. Without compromising the selection criteria referred to in paragraphs 33, 34 and 35 above, the formation of ERTs should ensure, to the extent possible, that at least one member is fluent in the language of the Party under review.

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<sup>3</sup> The experts that opt not to participate in the training have to undergo a similar assessment successfully to enable them to qualify for participation in ERTs.

40. The secretariat shall prepare an annual report to the SBSTA on the composition of ERTs, including the selection of experts for the review teams and the lead reviewers, and on the actions taken to ensure the application of the selection criteria referred to in paragraphs 36 and 37 above.

#### IV. Lead reviewers

41. Lead reviewers shall act as co-lead reviewers for the ERTs in accordance with these guidelines.

42. Lead reviewers should ensure that the reviews in which they participate are performed by each ERT according to the relevant review guidelines and consistently across Parties. They should also ensure the quality and objectivity of the thorough and comprehensive technical examinations in the reviews and provide for the continuity, comparability and timeliness of the reviews.

43. With the administrative support of the secretariat, lead reviewers shall, for each review:

(a) Ensure that the reviewers have all of the necessary information provided by the secretariat prior to the review;

(b) Monitor the progress of the review;

(c) Coordinate the submission of queries of the ERT to the Party under review and coordinate the inclusion of the answers in the review report;

(d) Provide technical advice to the members of the ERT, if needed;

(e) Ensure that the review is performed and the review report is prepared in accordance with these guidelines;

(f) Ensure that the ERT gives priority to issues raised in previous review reports.

44. Lead reviewers shall also collectively prepare an annual report to the SBSTA as part of the annual report referred to in paragraph 40 above, containing suggestions on how to improve the quality, efficiency and consistency of the reviews in the light of paragraph 5 above of these guidelines.

#### V. Ad hoc review experts

45. Ad hoc review experts shall be selected by the secretariat from those nominated by Parties or, exceptionally and only when the required expertise for the task is not available among them, from those nominated by relevant intergovernmental organizations belonging to the UNFCCC roster of experts for specific reviews. They shall perform individual review tasks in accordance with the duties set out in their nomination.

46. Review experts shall, as necessary, perform desk review tasks in their home countries and participate in in-country visits and centralized reviews.

#### VI. Role of the secretariat

47. The secretariat shall organize the reviews, including the preparation of a schedule for the review, the coordination of the practical arrangements concerning the review and the provision of all relevant reported information to the ERT concerned.

48. The secretariat shall develop review tools and materials and templates for review reports under the guidance of the lead reviewers.

49. The secretariat shall coordinate, together with the lead reviewers, the communication during the review between the ERT concerned and the Party under review and shall maintain a record of communications between ERTs and Parties.

50. The secretariat, together with the lead reviewers, shall compile and edit the final review reports.

51. The secretariat shall facilitate annual meetings of the lead reviewers for GHG inventories, BRs and NCs. It shall summarize information on issues raised in the reviews to facilitate the work of lead reviewers in fulfilling their task to ensure consistency in the reviews across Parties.

52. The secretariat shall design and implement training activities for review experts, including lead reviewers, and the subsequent assessment of the experts' qualifications, under the guidance of the SBSTA (see para. 29 above).

#### VII. Guidance provided by the Subsidiary Body for Scientific and Technological Advice

53. The SBSTA shall provide general guidance to the secretariat on the selection of experts and the coordination of the ERTs, and to the ERTs on the expert review process. The reports mentioned in paragraphs 40 and 44 above are intended to provide the SBSTA with inputs for elaborating such guidance.

#### **F. Reporting and publication**

54. The ERTs shall, under their collective responsibility, produce review reports. The review of the same information (see para. 7 above) shall be reflected in one report only. The following review reports should be produced for each Annex I Party:

(a) For the review of GHG inventories, a final report on the review of the GHG inventory, in accordance with part II and part III of these guidelines;

(b) For the review of BRs, a technical report on the review of the BR, in accordance with part II and part IV of these guidelines;

(c) For the review of NCs, a report on the review of the NC, in accordance with part II and part V of these guidelines.

55. The review reports for each Annex I Party shall follow a format and outline comparable to that set out in paragraph 56 below and shall include the specific elements described in parts III–V of these guidelines.

56. All review reports prepared by ERTs shall include the following elements:

(a) An introduction and a summary;

(b) A description of the technical review of each of the elements reviewed according to the relevant sections on the scope of the review detailed in parts III–V of these guidelines, including:

(i) A description of any potential issues identified in accordance with paragraphs XX, 64 and 78 below;

(ii) Any suggestions provided by the ERT to resolve the potential issues;

(iii) An assessment of any efforts made by the Annex I Party under review to address any potential issues identified by the ERT during the current review or during previous reviews that have not been addressed;

(iv) The sources of information used in the formulation of the final report.

57. Following their completion, all review reports shall be published and forwarded by the secretariat, together with a written comment on the final review report made by the Party under review, to the Party concerned, the COP and the subsidiary bodies, as appropriate, following these guidelines.



**PART III: UNFCCC Guidelines for the technical review of greenhouse gas inventories from Parties included in Annex I to the Convention<sup>4</sup>**

**PART IV: UNFCCC Guidelines for the technical review of biennial reports from Parties included in Annex I to the Convention**

**A. Purpose of the review**

58. The technical review of BRs is the first step of the international assessment and review (IAR) process. The overall objectives of the IAR process are to review the progress made by developed country Parties in achieving emission reductions and to assess the provision of financial, technological and capacity-building support to developing country Parties, as well as to assess emissions and removals related to quantified economy-wide emission reduction targets under the SBI, taking into account national circumstances, in a rigorous, robust and transparent manner, with a view to promoting comparability and building confidence. In addition, the IAR process aims at assessing the implementation of methodological and reporting requirements.

59. The purposes of the technical review of BRs from Annex I Parties are the following:

(a) To provide a thorough and comprehensive technical review of the parts of BRs that are not otherwise covered in the annual GHG inventory review;

(b) Taking into account paragraph 59(a) above, to examine in an objective and transparent manner whether quantitative and qualitative information was submitted by Annex I Parties in accordance with the “UNFCCC biennial reporting guidelines for developed country Parties” adopted by the COP;<sup>5</sup>

(c) To promote consistency of the information contained in BRs submitted by Annex I Parties;

(d) To assist Annex I Parties in improving their reporting of information and the implementation of their commitments under the Convention;

(e) To undertake an examination of the Party’s progress in achieving its economy-wide emission reduction target.

(f) To ensure that the COP has reliable information on the implementation of commitments under the Convention by each Annex I Party with a view to promoting comparability and building confidence.

**B. General procedures**

60. Each Annex I Party’s BR will be reviewed. A Party’s BR shall be reviewed in conjunction with its NC in the years in which both the BR and the NC are submitted.

61. Prior to the review, as part of its preparation, the ERT shall conduct a desk review of the BR of the Annex I Party under review. The ERT, through the secretariat, shall notify the Party concerned of any questions the team has regarding the information provided in the BR and of any focal areas for the review.

62. The output of the technical review will be a technical review report, building on existing reporting standards and including an examination of the Party’s progress in achieving its economy-wide emission reduction target.

<sup>4</sup> Placeholder for paragraphs XX–XX on the UNFCCC guidelines for review of annual inventories.

<sup>5</sup> Decision 2/CP.17, annex I; decision 19/CP.18.

### **C. Scope of the review**

63. The individual review will:

(a) Provide an assessment of the completeness of the BR, in accordance with the reporting requirements contained in decisions 2/CP.17 and 19/CP.18, and an indication of whether it was submitted on time;

(b) Examine the consistency of the BR with the annual GHG inventory and NC but it will not include in-depth examination of the inventory itself;

(c) Undertake a detailed technical examination of only those parts of the BR that are not included in the annual GHG inventory review, including the following:

(i) All emissions and removals related to the Party's quantified economy-wide emission reduction target;

(ii) Assumptions, conditions and methodologies related to the attainment of the Party's quantified economy-wide emission reduction target;

(iii) Progress the Party has made towards the achievement of its quantified economy-wide emission reduction target;

(iv) The Party's provision of financial, technological and capacity-building support to developing country Parties;

(d) In the years in which an NC is submitted at the same time as the BR, serve as part of the review of the NC, where there is an overlap between the content of the BR and that of the NC.

#### Identification of issues

64. The issues identified during the technical review of individual sections of the BR shall be identified as relating to the following:

(a) Transparency;

(b) Completeness;

(c) Timeliness;

(d) Adherence to the biennial report reporting guidelines as per decision 2/CP.17.

### **D. Timing**

65. If an Annex I Party expects difficulties with the timeliness of its BR submission by the due date, it should inform the secretariat thereof by the due date of the submission, to the extent possible, in order to facilitate the arrangements of the review process.

66. The ERTs shall make every effort to complete the individual review of BRs within 15 months of the due date of their submission for each Annex I Party.

67. If additional information is requested during the review week, the Annex I Party should make every reasonable effort to provide the information within two weeks after the review week.

68. The ERT for the review of the BR of each Annex I Party shall, under its collective responsibility, produce a draft technical review report following the format detailed in paragraph 71 below, to be finalized within eight weeks after the review week.

69. The draft technical review report of each BR shall be sent to the Annex I Party subject to the review for comment. The Party concerned shall be given four weeks<sup>6</sup> from its receipt of the draft report to provide comments thereon.

70. The ERT shall produce the final version of the BR technical review report, taking into account the comments of the Annex I Party within four weeks of receipt of the comments. All final review reports shall be published and forwarded by the secretariat, together with any written comments on the final review report by the Party that is the subject of the report, to the COP.

### **E. Reporting**

71. The following specific elements shall be included in the technical review report referred to in paragraph 54(b) above:

(a) The results of the technical examination of the elements specified in paragraph 63(c) above, including an examination of the Party's progress in achieving its economy-wide emission reduction target;

(b) An identification of issues in accordance with paragraph 64 above.

## **PART V: UNFCCC Guidelines for the technical review of national communications from Parties included in Annex I to the Convention**

### **A. Purpose**

72. The purposes of the review of NCs from Annex I Parties are the following:

(a) To establish a process for a thorough and comprehensive technical review of the implementation of the commitments under the Convention by individual Annex I Parties and Annex I Parties as a group;

(b) Taking into account paragraph 72(a) above, to examine in an objective and transparent manner whether quantitative and qualitative information was submitted by Annex I Parties in accordance with the "Guidelines for the preparation of national communications by Parties included in Annex I to the Convention, Part II: UNFCCC reporting guidelines on national communications" adopted by the COP;

(c) To promote consistency of the information contained in the NCs of Annex I Parties;

(d) To assist Annex I Parties in improving their reporting of information under Article 12 of the Convention and the implementation of their commitments under the Convention;

(e) To ensure that the COP has reliable information on the implementation of commitments under the Convention by each Annex I Party and Annex I Parties as a whole.

### **B. General procedures**

73. Each Annex I Party's NC will be reviewed, where relevant in conjunction with the review of the BR.

74. Each NC submitted under the Convention by an Annex I Party shall be subject to an in-country review.

<sup>6</sup> Four weeks, or 20 working days if the Party has a public holiday occurring within the four-week time frame.

75. Annex I Parties with total GHG emissions of less than 50 Mt CO<sub>2</sub> eq (excluding land use, land-use change and forestry) in accordance with their most recent GHG inventory submission, with the exception of Parties included in Annex II to the Convention, may choose to undergo a centralized review for their NCs.

76. Prior to the review, the ERT shall conduct a desk review of the NC of the Annex I Party under review. The ERT, through the secretariat, shall notify the Party concerned of any questions the team has regarding the NC and of any focal areas for the review.

### **C. Scope of the review**

77. The individual review will, noting paragraph 9 above:

(a) Provide an assessment of the completeness of the NC in accordance with the “Guidelines for the preparation of national communications by Parties included in Annex I to the Convention, Part II: UNFCCC reporting guidelines on national communications” adopted by the COP, and an indication of whether it was submitted on time;

(b) Check the consistency of information contained in the NC with that contained in the BR and GHG inventory. If the same information is reported elsewhere, the information should be reviewed only once;

(c) Undertake a detailed technical examination of the unique information contained in the NC and the procedures and methodologies used for the preparation of the information therein, noting that the outline of the NC is included in the list below:

(i) National circumstances relevant to GHG emissions and removals;

(ii) GHG inventory information;

(iii) Policies and measures;

(iv) Projections and the total effect of policies and measures;

(v) Vulnerability assessment, climate change impacts and adaptation measures;

(vi) Financial resources;

(vii) Transfer of technology;

(viii) Research and systematic observation;<sup>7</sup>

(ix) Education, training and public awareness;

(d) Giving consideration to national circumstances, identify any potential issues referred to in paragraph 78 below.

#### Identification of issues

78. The issues identified during the technical review of individual sections of the NC shall be identified as relating to the following:

(a) Transparency;

(b) Completeness;

(c) Timeliness;

(d) Adherence to the NC reporting guidelines as per decision 4/CP.5.

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<sup>7</sup> Information provided under this heading includes a summary of the information provided on global climate observing systems.

#### **D. Timing**

79. If an Annex I Party expects difficulties with the timeliness of its NC submission by the due date, it should inform the secretariat thereof by the due date of the submission, to the extent possible, in order to facilitate the arrangements of the review process.

80. The ERTs shall make every effort to complete the individual review of NCs within 15 months of the due date of their submission for each Annex I Party.

81. If additional information is requested during the review week, the Annex I Party should make every reasonable effort to provide the information within two weeks after the review week.

82. The ERT for the review of the NC of each Annex I Party shall, under its collective responsibility, produce a draft of the review report following the format detailed in paragraph 85 below, to be finalized within eight weeks after the review week.

83. The draft of each NC review report shall be sent to the Annex I Party subject to the review for comment. The Party concerned shall be given four weeks<sup>8</sup> from its receipt of the draft report to provide comments thereon.

84. The ERT shall produce the final version of the NC review report, taking into account the comments of the Annex I Party within four weeks of receipt of the comments. All final review reports shall be published and forwarded by the secretariat, together with any written comments on the final review report by the Party that is the subject of the report, to the COP.

#### **E. Reporting**

85. The following specific elements shall be included in the report referred to in paragraph 54(c) above:

- (a) A technical review of the elements specified in paragraph 77(c) above;
- (b) An identification of issues in accordance with paragraphs 77(d) and 78 above.

*10<sup>th</sup> plenary meeting  
22 November 2013*

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<sup>8</sup> Four weeks, or 20 working days if the Party has a public holiday occurring within the four-week time frame.