

Modalities and Procedures for International Assessment and Review

Decision X/CP.17

The Conference of the Parties,

Recalling decisions 2/CP.1, 9/CP.2, 6/CP.3 and 33/CP.7 regarding review processes for national communications submitted by developed country Parties, and decisions 6/CP.5, 19/CP.8, 12/CP.9 and 18/CP.10 regarding review of national greenhouse gas inventories submitted by developed country Parties,

Desiring to enhance the level of transparency of the mitigation measures of developed country Parties by implementing a robust system of international assessment and review of emissions and removals related to quantified economy-wide emission reduction targets as agreed in decision 1/CP.16,

Recognizing that greater transparency will generate confidence among Parties as to the extent and nature of mitigation action being undertaken, and create conditions for the further growth of mitigation ambition among developed country Parties,

1. *Adopts* the modalities and procedures annexed to this decision;
2. *Decides* that international assessment and review will be conducted every two years for each developed country Party, and will be triggered by submission of a biennial report, whether alone or concurrently with a national communication;
3. *Decides* that the first round of international assessment and review should commence following submission of the first round of biennial reports by developed country Parties, and no later than 1 May 2013;
4. *Decides* that all biennial reports submitted in the first round of biennial reporting should be put to international assessment and review;
5. *Decides* to review the modalities and procedures prescribed herein based on experiences gained in the first round of international assessment and review, no later than 2015.

I. Objectives of the international assessment and review process

1. The overall objectives of the international assessment and review (IAR) process, taking into account the provisions of the existing review guidelines, are:

(a) To provide a facilitative, robust, rigorous and transparent assessment of developed country Parties' progress towards the attainment of their quantified economy-wide emission reduction targets and their provision of financial, technological and capacity-building support to developing country Parties;

(b) To ensure that the information provided by developed country Parties is consistent accurate, comparable, transparent and complete;

(c) To promote consistency in accounting over time and comparability of efforts among developed country Parties;

(d) To enhance the environmental integrity of the international climate regime;

(e) To build confidence that the mitigation actions of developed country Parties are in line with their quantified economy-wide emission reduction targets;

(f) To create conditions of certainty and confidence among Parties that enable developed country Parties to increase the level of ambition of their commitments;

(g) To promote implementation of mitigation actions of developed country Parties in line with their quantified economy-wide emission reduction targets;

(h) To facilitate the provision of information to the Conference of Parties to assist it in assessing the implementation of the Convention;

(i) To provide input to the 2013-2015 Review and the subsequent periodic review processes.

2. In addition to the overall objectives included in paragraph 1, the specific objectives of the technical expert review are the following:

(a) To provide a thorough, objective and comprehensive technical expert review of information provided in reports referred to in paragraph 6 below for accuracy and conformity with reporting requirements;

(b) To assess progress towards achievement of quantified economy-wide emission reduction targets, and to assess the provision of support;

(c) To promote accuracy, completeness, comparability, consistency and transparency in the review of information;

(d) To identify potential barriers to the achievement of quantified economy-wide emission reduction targets and propose possible solutions;

(e) To promote comparability of effort among developed country Parties;

(f) To assist developed country Parties in improving their ability to achieve their quantified economy-wide emission reduction target and their reporting of information;

3. Further, the specific objectives of the international assessment are the following:

(a) To assess developed country Parties' progress towards achievement of the quantified economy wide emission reduction targets, and their provision of support to developing country Parties in a non-confrontational and facilitative manner;

(b) To promote transparency and build confidence in developed country Parties' progress towards achievement of quantified economy-wide emission reduction targets;

(c) To facilitate an assessment of comparability of effort among Parties;

(d) To create conditions of certainty and confidence that enable developed country Parties to increase their level of ambition;

II. Process and scope

A. Process

4. IAR will be a two-step process, as follows:

(a) A technical expert review, which would not duplicate the annual inventory and national communications review processes for developed country Parties, and which would result in an individual review report for each developed country Party;

(b) An assessment of progress towards the achievement of quantified economy wide emission reduction targets and the provision of financial, technological and capacity-building support to developing country Parties under the auspices of the Subsidiary Body for Implementation;

B. Scope

5. Building on relevant elements of existing review processes, IAR will review and assess, for each developed country Party, the following:

(a) All emissions and removals related to its quantified economy-wide emission reduction target;

(b) Assumptions and conditions related to attainment of its quantified economy-wide emission reduction target;

(c) Progress towards the achievement of its quantified economy-wide emission reduction target;

(d) Its provision of financial, technological and capacity-building support to developing country Parties;

III. Technical expert review

A. Inputs

6. The inputs to the technical expert review are the following:

(a) Biennial report, including the annual greenhouse gas inventory and national inventory report;

(b) Complete national communication, either as submitted concurrently with the biennial report, or any national communication not previously considered that has been submitted since the commencement of the previous international assessment and review cycle for that Party;

(c) Any additional information provided by the Party before or during the review;

(d) In the event that a developed country Party has not submitted a biennial report, or its biennial report and national communication contain insufficient information on its mitigation target and progress towards achieving it, peer reviewed publications and other credible publicly available sources;

B. Process

7. Each developed country Party's biennial report and, pursuant to paragraph 6(b), its national communication, is reviewed as follows:

(a) The technical expert review examines the consistency of the annual inventory with the biennial report and national communication but does not include in-depth examination of the inventory itself¹;

(b) The technical expert review is conducted in accordance with existing and revised guidelines and procedures under the Convention, and, where relevant, the Kyoto Protocol;

(c) For each Party under review, the Secretariat will select an Expert Review Team comprising five to eight members serving in their personal capacities, from a list of experts nominated by Parties constituted for completing both ICA and IAR processes;

(d) Each Expert Review Team will include no more than one member of the Secretariat professional staff, and at least one inventory expert, and shall be selected so as to achieve balanced representation among developed and developing countries;

(e) The Expert Review Team will undertake the following tasks:

(i) Review overall progress towards achievement of the Party's quantified economy-wide emission reduction target;

(ii) Review the effects of individual mitigation actions;

(iii) Review use of carbon credits from market mechanisms towards the emission reduction target;

(iv) Review provision of financial, technology and capacity-building support to developing country Parties;

C. Output

8. The output of the technical expert review is an in-depth review report for each developed country Party, including any barriers identified by the expert review team to the achievement of the Party's quantified economy-wide emission reduction target, and any suggestions by the expert review team as to possible means of overcoming these barriers;

IV. International Assessment

A. Inputs

9. The international assessment will be carried out on the basis of:

(a) The in-depth review report referred to in paragraph 8;

(b) Biennial report;

(c) National greenhouse gas inventory and national inventory report;

(d) Other information provided by the Party before or during the international assessment;

B. Process

¹ This provision is designed to avoid duplicating or supplanting the existing annual inventory reviews for developed countries, which are in-depth and robust.

10. Each developed country Party is assessed individually, according to a timetable set by the Subsidiary Body for Implementation;

11. The international assessment shall entail the following:

(a) The Party under review may make a brief oral presentation, followed by oral questions by regional representatives and responses by the Party under review;

(b) The tenor of the session should be respectful, non-confrontational, confidence-building and focused on the content of the biennial report and the in-depth review report;

(c) Any Party may submit written questions through the Secretariat in the two-week period following the session;

(d) The Party under review should respond to these questions, through the Secretariat, within two months;

C. Forum for assessment

12. International assessment for all Parties for which a final in-depth review report has been produced shall be conducted through a dedicated working group session of the Subsidiary Body for Implementation;

13. The Subsidiary Body for Implementation may, if necessary, explore means of optimizing the efficiency of international assessments, including by inviting Parties with similar national circumstances, or which emit less than 0.5 per cent of global emissions up to a combined total of 2.5 per cent, to undergo international assessment together in the same session;

D. Outputs

14. By the session following the international assessment, the Secretariat will prepare a record in respect of each Party under review that includes the following:

(a) In-depth review report;

(b) Summary report of the working group session;

(c) Questions submitted by Parties and responses provided;

(d) Any other observations by the Party under review that are submitted within two months of the working group session.

Modalities and Procedures for International Consultation and Analysis

Decision X/CP.17

The Conference of the Parties,

Recalling decisions 12/CP.4, 8/CP.5 and 32/CP.7 regarding the review of national communications, including the national greenhouse gas inventory submitted by developing country Parties,

Desiring to implement the system of international consultations and analysis agreed by Parties in decision 1/CP.16,

Recognizing that the system of international consultations and analysis should be designed to optimise opportunities for developing countries to build their capacity in respect of the implementation of nationally appropriate mitigation actions and in respect of the measurement, reporting and verification of these actions,

Acknowledging that a robust, flexible, adaptable and cost-effective system of international consultations and analysis will facilitate participation by developing country Parties and enhance the level of transparency of the nationally appropriate mitigation actions of developing country Parties,

Recognizing that greater transparency will generate confidence among Parties as to the extent and nature of mitigation action being undertaken by developing country Parties, and create conditions for the further growth of mitigation ambition among all Parties,

1. *Adopts* the modalities and procedures annexed to this decision;
2. *Decides* that international consultations and analysis will be conducted in respect of each developing country Party, commencing on submission of a biennial update report or on the expiry of one year past the due date of the biennial update report;
3. *Decides* that participation in international consultations and analysis will be voluntary for least-developed countries and small island developing states;
4. *Decides* that the first round of international consultations and analysis should commence following submission of the first round of biennial update reports by developing country Parties, and no later than 1 May 2014;
5. *Decides* that all biennial update reports submitted in the first round of reporting should be put to international consultations and analysis;
6. *Recognizes* that as the number of developing country Parties participating in biennial update reporting increases, the Secretariat may need to supplement or re-allocate resources for international consultations and analysis;
7. *Decides* to review the modalities and procedures prescribed herein based on experiences gained in the first round of international consultations and analysis, no later than 2015.

I. Objectives

1. The overall objectives of international consultation and analysis (ICA) are as follows:

(a) To facilitate capacity-building in developing country Parties, in particular in relation to reporting of nationally appropriate mitigation actions;

(b) To increase the transparency of nationally appropriate mitigation actions of developing country Parties 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, including through guidance on opportunities to undertake additional nationally appropriate mitigation actions;

(f) To facilitate reporting of the information required by the Conference of the Parties to assist it in assessing the implementation of the Convention;

(g) To assist Parties in addressing technical difficulties faced in preparation of biennial update reports and national communications;

(h) To provide transparency regarding the extent to which mitigation actions, including those contained in document FCCC/AWGLCA/2011/ INF.1 have been implemented, and the effects of these actions;

(i) Promote universal participation with flexibility for Small Island Developing States and Least Developed Countries;

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

(a) To determine whether the information required has been submitted;

(b) To analyse the extent to which a Party's actions have been implemented and their effectiveness 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 provide recommendations where possible with a view to building the capacity of developing country Parties with respect to these matters;

(e) To identify support needs, including support required for preparation of biennial update reports;

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 build the capacity of developing country Parties through participation in a facilitative consultation process enabling a sharing of views and best practice;

II. Principles

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

(a) The process is to be non-intrusive, non-punitive, non-confrontational and respectful of national sovereignty;

(b) The process is to be facilitative and cooperative, and based on interactive dialogue which fully involves the Party concerned;

(c) The process is to take into account the wider economic and development needs of the Party concerned, as well as its national circumstances;

(d) Discussions regarding the appropriateness of domestic policies and measures do not form part of the ICA process;

(e) ICA will not be more onerous than international assessment and review process for developed country Parties;

III. Process and scope

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 and, where applicable, other information, by a team of technical experts;

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

A. Technical analysis

1. Inputs

6. The technical analysis of biennial update reports will focus on:

(a) Greenhouse gas inventories and inventory reports;

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

(c) Progress towards implementation of mitigation actions;

(d) Information on the Party's domestic measurement reporting and verification system, including support received for it; and

(e) Information on support received;

7. Where a Party has not submitted a biennial update report within one year of the date that it was originally due, or the information in the biennial update report does not provide a sufficient basis for technical analysis of mitigation actions under ICA, technical analysis under ICA will commence on the basis of that Party's most recent national greenhouse gas inventory, the mitigation information contained in that Party's most recent national communication, and relevant information from other sources that is peer reviewed and publicly available;

2. Process

8. At the commencement of an ICA cycle for each developing country Party, the Secretariat will assemble a technical expert team of five to eight members, drawing from Secretariat professional staff and a pool of Party-nominated experts constituted for completing both ICA and IAR processes and hosted by the Secretariat, balanced as to expertise, including inventory expertise, and participation by developed and developing countries. The members of the expert team will serve in their personal capacity;
9. One member of the technical expert team will be a member of the Secretariat professional staff; the Party concerned may request additional team members from the Secretariat professional staff, up to a maximum of three; the Secretariat may consider such requests in light of its available resources;
10. The team will be supported by the Secretariat staff;
11. The team will be led by two experts, one from a developing Party and the other from a developed country Party;
12. Two to three experts, of which at least one will be from a developing country Party and one from a developed country Party, will focus on the analysis of national GHG inventories;
13. The technical analysis by technical experts will take place in consultation with the Party concerned, in a manner that contributes to capacity building;
14. 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;
15. The technical expert team may make suggestions to the Party, and may offer guidance on measures, commensurate with the national circumstances of the Party, to improve the measurement, reporting and verification of mitigation actions; the Party may respond to the questions or suggestions of the expert team;
16. The expert team may also solicit information from other Parties or stakeholders if incomplete information or no national reporting was submitted;

3. Output

17. The output of the technical analysis by the technical expert team will be an expert analysis report on the Party's full suite of mitigation actions and the emissions benefits gained, the methodologies and assumptions used in the biennial report and, where applicable, the national communication, the Party's system of domestic measurement, reporting and verification, and support received;
18. Prior to finalizing the report, the draft analysis report prepared by the technical 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 expert analysis report, taking into account 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

1. Inputs

19. The inputs for the international consultations process are the following:
 - (a) Expert analysis reports referred to in paragraph 17 above;

(b) Biennial update reports, including the greenhouse gas inventory and inventory report;

2. Process

20. The Subsidiary Body on Implementation will, at regular intervals, convene a consultation working group session, open to all Parties, for international consultations in respect of all Parties for which there is a final expert analysis report, and will set a timetable for consultations within each such session. Parties will be allowed to submit written questions in advance. The ICA process will consist of the following:

(a) A session of consultations one to three hours in length will be conducted for each Party or group of Parties, consisting of a brief presentation by the Party or Parties concerned, followed by an oral question and answer session between regional group representatives and the Party or Parties concerned. Other Parties may participate as observers;

(b) During the two-week period following the consultation process, any Party may submit in writing, through the Secretariat, follow-up questions to a Party concerned, through the secretariat; the Party concerned will endeavour to provide written answers through the Secretariat within two months;

(c) Parties with commonalities and anticipating limited questions in connection to their Reports, or which emit less than 0.5 per cent of global emissions up to a combined total of 2.5 per cent, may request to undergo international consultations together in the same session;

3. Outputs

21. By the session following the international consultations, the Secretariat will prepare a record including the following:

(a) The expert analysis report referred to in paragraph 17;

(b) An objective record of the 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;

C. Outcome of international consultations and analysis

22. The summary report will be presented to the Subsidiary Body on Implementation which may provide advice and suggestions to the Party concerned. In response to the suggestions of the Subsidiary Body on Implementation, the Party concerned may provide follow-up reports or information.