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UNITED NATIONS FRAMEWORK CONVENTION ON CLIMATE CHANGE

**Ad Hoc Working Group on Long-term Cooperative Action
under the Convention**

**Fourteenth session, part four
Durban, 29 November 2011—***

Agenda item 3.2.2

Nationally appropriate mitigation actions by developing country Parties

**Views on the items relating to a work programme for the
development of modalities and guidelines listed in
decision 1/CP.16, paragraph 66**

Submissions from Parties

Addendum

1. In addition to the 26 submissions contained in document FCCC/AWGLCA/2011/MISC.7 and Add.1–6, 13 further submissions have been received.
2. In accordance with the procedure for miscellaneous documents, these submissions are attached and reproduced** in the language in which they were received and without formal editing.

* The fourth part of the session will be held in conjunction with the seventeenth session of the Conference of the Parties (COP). The Ad Hoc Working Group on Long-term Cooperative Action under the Convention (AWG-LCA) will present the results of its work to the COP for consideration as per decision 1/CP.16, paragraph 143. The closing date of the session of the AWG-LCA will be determined in Durban.

** These submissions have been electronically imported in order to make them available on electronic systems, including the World Wide Web. The secretariat has made every effort to ensure the correct reproduction of the texts as submitted.

FCCC/AWGLCA/2011/MISC.7/Add.7

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Input by Africa Group on mitigation nonpapers

http://unfccc.int/meetings/ad_hoc_working_groups/lca/items/6223.php

Recalling its proposals in documents FCCC/AWGLCA/2011/CRP.19 and FCCC/AWGLCA/2011/CRP.20, the Africa Group hereby provides further input on text under consideration by the AWG-LCA on agenda items 3.2.1 and 3.2.2. Flexibility and restraint has been exercised in again presenting proposals of importance to the Group, in the context of the texts prepared by the co-facilitators, where these are not fully reflected.

Specific textual inputs are indicated between inverted commas (“...”), and structural suggestions in *bold italics*, for each text.

3.2.1 Nationally appropriate mitigation commitments or actions by developed country Parties

Discussion on matters relating to paragraphs 36-38 of the Cancún Agreements

[At the end of the paper, include a new section]

“Textual Proposals

Level of ambition and contribution by Annex I Parties to the global goal

10. *Decides* to establish, in order to understand pledges, a process on Annex I Parties’ quantified emission limitation and reduction commitments (QELRCs), building on the workshops held during 2011 and the technical paper mandated by decision 1/CP.16 and prepared by the Secretariat;
11. *Agrees* that QELRCs for Annex I Parties that are not party to the Kyoto Protocol shall be translated assigned amounts or carbon budgets under the Convention, representing an amount of tons of CO₂-eq over a period of time in a manner that is comparable to QELRCs undertaken by Annex I Kyoto Parties under the Kyoto Protocol. Carbon budgets shall be reflected in legally binding form;

Comparability among Annex I Parties targets, compliance and rules

Pursuant to decisions 1/CP.13 and 1/CP.16;

12. *Agrees* the comparability of efforts among Annex I Parties shall be established through the process of international assessment and review, operationalized through the review panel (see IAR), which shall assess:
 - a. Comparability of commitments (QELRCs);
 - b. Comparability of compliance and consequences of the multi-lateral review under IAR;
 - c. Comparability of multi-laterally agreed rules for accounting of assigned amounts (carbon budgets), LULUCF and mechanisms. “

Possible elements of draft decision for adoption of the guidelines for biennial reports of developed country Parties

Place brackets around the words ‘(to be defined)’ in paragraphs 30 and 33 and add the text “[as defined in Appendix 1 to this decision]”

In paragraph 32, replace ‘Parties can’ in the first line with “Parties shall”; and add the text at the end, replacing the full stop (after ‘specific sectors’ with a comma and adding “technologies and, for activities with multiple benefits, providing a separate amount of finance for climate change”

Add a new paragraph after para 32, “

33. Developed country Parties shall report the underlying assumptions and methodologies in producing the numbers filled into the common reporting format for finance in a rigorous, robust and transparent manner.”

[At the end of the paper on biennial reports, include the following table and its notes]

“Appendix 1

Indicative common reporting format (CRF) table for enhanced reporting by Annex I Parties on finance

Define New & Additionnal :									
Recipient country	Funded actions*	Activity	Amount of financial support provided for one given year (in original currency and USD)**		ODA financial support counted towards ODA commitments	Amount of financial support anticipated (in original currency and USD)	Sector	Financial channels through which the support has been provided***	The financial instrument****
			Pledged	Disbursed					
	Adaptation								
	Mitigation								
	Capacity building								
	Technology development and transfer								
	Development of reports by non-Annex I Parties including inventories, biennial reports, biennial report updates, national inventory reports and national adaptation plans								

*For programs and activities with multiple components, specify the support or portion of support for each component

** Precise whether the financial support is for incremental or full costs, consistent with Article 4.3 of the Convention

*** Examples:

- UNFCCC Financial Mechanism
- GEF
- other multi-lateral channels
- regional channels

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- bi-lateral channels

- international private investment flows including leveraged funds, international bank lending, public debt, portfolio equity holdings, foreign direct investment

**** Grants; loans (concessional portion and market-interest) ; guarantees; equity; leveraged funds”

Possible elements of draft decision for adoption of modalities and procedures for international assessment and review

In the heading of Section IV, add an option to title this section [“Multilateral review process”]

Add a new sub-paragraph after 10(b)

“Supplementary information on achievement of quantified economy-wide emission reduction targets, including the role of land use, land-use change and forestry, and carbon credits from market-based mechanisms”

Add new paragraphs after the existing para 11

12. IAR shall be undertaken annually, ensuring that the progress in achieving quantified emission limitation and reduction commitments for individual Annex I Parties is undertaken every 2 years;
13. The multi-lateral review process under the SBI shall constitute the review of IAR, shall assess progress in the achievement of QELRCs, and consequences may flow from the review

Add a new sub-paragraph after 14(i)

j. a review of comparability of efforts among Annex I Parties, leading to a report to the COP and CMP for consideration and possible action;

Add new paragraphs after the existing para 14

14. If the IAR process finds that a Annex I Party is not on a pathway to meet its QELRC, it shall:
 - a. Engage in a facilitative process to engage the Party concerned and assist it in taking remedial action or, failing that;
 - b. Lead to consequences, including suspension of eligibility from mechanisms and increases in the QELRC of the Party.

Discussion on matters relating to paragraphs 48-51 of the Cancún Agreements

[At the end of the paper, include a new section]

“Textual Proposals

12. Agrees that the registry shall be structured in a manner that allows for the full range of diversity of nationally appropriate mitigation actions.”

Possible elements of draft decision to be included in the Registry

In paragraph 8, place brackets around ‘(a)’ in the first sentence; and brackets around the second sentence.
Add further sentences at the end of the paragraph:

“Only nationally appropriate mitigation actions submitted by non-Annex I Parties expressly for the purpose of inclusion in the registry shall be so included by the Secretariat. Document FCCC/AWGLCA/2011/INF.1 shall be updated when new aggregate nationally appropriate mitigation actions have been submitted by developing country Parties pursuant to paragraph 50 of the Cancún Agreements.”

Possible elements of draft decision text for adoption of modalities and procedures for international consultation and analysis

In paragraph 2(h), place brackets around the words ‘contained in document FCCC/AWGLCA/2011/INF.1’,
and add immediately *before* the bracketed phrase the words “domestically supported” ... mitigation actions.

In paragraph 16(b), add the words “as part of national communications from Parties not included in Annex I to the Convention.”

After paragraph 16, add a new paragraph

“ICA shall be undertaken biennially, ensuring that the progress in implementing mitigation actions for individual Annex I Parties is undertaken every 4 years.”

In paragraph 17, place brackets in sub-para (a) around the words ‘One to three hours session of’, and in (b) around the words ‘within a specified time period, for example, two weeks’

In paragraph 18(b), add at the end “in consultation with the Party concerned”

Submission under the Cancun Agreements | 21 October 2011
Text proposals on agenda items 3.2.1 and 3.2.2 | AWG-LCA

I. Overview

Australia thanks the Chair, Vice-Chair and Facilitators for their efforts and welcomes the opportunity to provide text proposals on agenda items 3.2.1 and 3.2.2.

Attached are specific, concise drafting proposals to the Co-Facilitators' non-papers covering:

- Paras 36-38 and paras 48-51 (at Attachment A)
- International Assessment and Review (IAR) and International Consultation and Analysis (ICA) (at Attachment B)
- Registry (at Attachment C)

Australia also welcomes the Co-Facilitators' non-papers on biennial reports for Annex I and non-Annex I Parties and considers that these notes should form the basis for negotiations in Durban.

II. Matters relating to paras 36-38 and 48-51 of the Cancun Agreements

Australia considers that issues relating to paras 36-38 and paras 48-51 fall into three main elements: clarification, accounting and transparency, and ambition. These elements could provide a useful structural basis for the text, as follows:

- *Clarification and understanding of quantified economy-wide emission reduction targets and nationally appropriate mitigation action, covering*
 - A request to Parties to make further submissions, in a standard template of additional information regarding their targets and actions; and
 - Regular updates to the INF documents in paras 36 and 49 to reflect this new information.
- *Accounting and transparency, covering*
 - High level principles and guidance for a common accounting framework consisting of common elements, coupled with flexibility to allow countries to maximise their mitigation efforts and take account of national circumstances and capabilities; and
 - A work program to develop these common elements.
- *Ambition, covering*
 - An acknowledgement that current efforts by developed and developing countries are not sufficient to meet the 2 degrees or lower global goal;
 - Recognition that further work on clarification of targets and actions, as well as biennial reports and IAR and ICA, will help build the confidence developed and developing countries need to scale up ambition. As will establishing the registry focused on facilitating matching support to actions seeking support; and

- Establishment of a process to scale up individual targets and actions over time, linked to the 2013-2015 Review.

Drafting proposals for these elements are at [Attachment A](#).

III. Modalities and procedures for IAR and ICA

Australia considers the Co-Facilitators' non paper to be a useful basis for negotiations. Australia's drafting proposals on IAR and ICA are aimed at enhancing international understanding and transparency of the mitigation efforts of Parties. They seek to ensure processes are facilitative, flexible, robust and designed to maximise the capacity-building and information-sharing potential of the elements agreed in Cancun.

IAR and ICA are framed as two-step processes of expert review or analysis, feeding into international assessment or consultations.

Drafting proposals for these elements are at [Attachment B](#).

IV. Registry

Australia considers that a registry decision at Durban should focus on facilitating the matching of support with actions seeking support.

The attached text proposal aim at a decision that establishes a practical, user-friendly design for the registry and provides necessary guidance on implementation. As a first step, the Secretariat is requested to set up a prototype, while a continuing work plan will allow for finalisation of modalities and guidelines. Swift progress on the registry will help deliver on the Cancun Agreements to match actions seeking international support with finance, technology and capacity-building.

Drafting proposals for this element are at [Attachment C](#).

Attachment B: IAR and ICA

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;

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

(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

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.

Attachment C

Decision X/CP.17 – Registry

Recalling paragraphs 53-59 of Decision 1/CP.16,

1. *Invites* developing country Parties to submit to the secretariat information on nationally appropriate mitigation actions for which they are seeking international support, using the template included in Annex Y. Information submitted should include a brief description of:
 - (a) The participants in the development and/or implementation of the nationally appropriate mitigation action, including contact information;
 - (b) The proposed action, including the type of activity, location, estimated costs, estimated emission reductions and anticipated time frame for implementation; and
 - (c) The type and amount of support sought, and details of any domestic or international support already in place or secured;
2. *Invites* developed country Parties, relevant UNFCCC bodies, the entity or entities entrusted with the operation of the financial mechanism, and multilateral, bilateral or other public, private or non-governmental organisations that are in a position to do so to submit to the secretariat information on finance, technology and capacity-building support available and/or provided for nationally appropriate mitigation actions, using the template included in Annex Z. Information submitted should include, at minimum, a brief description of:
 - (a) The source of support, including contact information;
 - (b) The support available, including the type, amount or description of services;
 - (c) The eligibility criteria or process for provision of support, including any criteria relating to the type of activity eligible for support, location, scale of emission reductions or time frame for implementation;
3. *Requests* the Secretariat to set up a registry prototype that records information submitted in accordance with paragraphs 1 and 2 above to facilitate the matching of support to nationally appropriate mitigation actions. In setting up the registry prototype, the Secretariat should ensure that:
 - (a) Information in the registry is presented in a simple, public and easy to access format;
 - (b) The design allows users to search the registry contents in order to best facilitate matching;
 - (c) The design minimises ongoing data management and maintenance requirements;
4. *Decides* to continue the work programme for the development of modalities and guidelines for facilitation of support to nationally appropriate mitigation actions through a registry with a view to:
 - (a) Finalising modalities and guidance on the format and content of inputs to the registry, registry use and accessibility, and arrangements to enhance matching of actions to support by registry users;
 - (b) Establishing arrangements for the modification, updating and maintenance of the registry by the Secretariat, to ensure that registry content remain current;
 - (c) Determining on the need for a review of the registry prototype and templates for inputs, including through consultation with Parties and other registry users on the registry's effectiveness.

**AD HOC WORKING GROUP ON LONG-TERM COOPERATIVE ACTION
UNDER THE CONVENTION**

Fourteenth session (third part)

Panama City, 1-7 October 2011

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 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.

2 bis Enhanced support for the ICA process will be ensured by developed country Parties by means of new and additional resources, under article 4.5 of the Convention.

3. Recognize need to have an efficient, cost-effective and practical system which does not pose excessive burdens on developing country Parties, the secretariat and the SBI [~~and other stakeholders~~];

~~[4. Prioritize 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 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]~~

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

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 aggregate effect of actions by Parties [~~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 mitigation actions 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~~] consider [~~identify~~] whether the information required has been submitted;
- (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] 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 the Party concerned;
- (d) Take into account the wider economic and development needs of the Party concerned, as well as its national circumstances and development priorities;
- (e) [Promote] universal participation with 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 fulfillment 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.

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 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 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].

14. The country concerned could respond to the questions or suggestions of the expert team. [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. 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. 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, followed by an oral question and answer session between [regional group representatives][Parties] and the Party concerned. Other Parties could participate as observers;

(b) During the two-week period following the consultation process, any Party 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.

3. Outputs

18. A summary report, prepared by the secretariat, would be issued to include the following:

- (a) [A technical expert analysis report referred to in paragraph 15 and 16 (a);]
- (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].]

[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.]

OR

Option 3: The ICA process will consist of the following two steps:

- (a) Consultation on the biennial update reports between Parties through a process of written questions and answers, to be compiled by the Secretariat, under the SBI; and
- (b) Technical analysis of the biennial update reports and the written exchange by a team of technical experts. The Party involved, in providing answers for the questions, may provide additional technical information. Expert teams will analyse the answers to the questions raised in conjunction with the interested Party. This process will result in a summary report to be presented to the SBI.

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.

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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 for adoption of guidelines for biennial update reports from Parties not included in Annex I to the Convention]

1. Recall relevant decisions;

Recalling, in particular, Article 4, paragraphs 1, 3 and 7, Article 10, paragraph 2 (a), and Article 12, paragraphs 1, 5 and 7, of the Convention,

Recalling also its decisions on national communications from Parties not included in Annex I to the Convention (non-Annex I Parties), in particular its decisions 10/CP.2, 2/CP.4, 12/CP.4, 8/CP.5, 31/CP.7, 32/CP.7, 17/CP.8 and 8/CP.11,

Reaffirming that, in accordance with Article 4, paragraph 3, of the Convention, the developed country Parties and other developed Parties included in Annex II to the Convention shall provide new and additional financial resources to meet the agreed full costs incurred by developing country Parties in complying with their obligations under Article 12, paragraph 1, of the Convention,

Noting that current guidelines for the preparation of national communications were adopted by the Conference of the Parties at its eighth session,

Noting also that in accordance with decision 17/CP.8, non-Annex I Parties should use the guidelines contained in the annex to that decision for the preparation of second and, where appropriate, third national communications and, where appropriate, initial national communications,

Recognizing that the preparation of national communications is a continuing process,

Recognizing also that the submission of national communications is very important for Parties to better understand climate change issues,

Recognizing further the difficulties that non-Annex I Parties have had in preparing their initial national communications and the need to build capacity for using the guidelines for the preparation of national communications from non-Annex I Parties, and the need to allocate adequate time to non-Annex I Parties for preparing their national communications,

Acknowledging that although the majority of non-Annex I Parties have submitted their initial national communications and some have also submitted their second and third national communications, a number of non-Annex I Parties are still having difficulties with the preparation and submission of their initial national communications due to both technical and resource constraints,

Taking into account that paragraph 60(c) of Decision 16/CP. 1 states that: “Developing countries, consistent with their capabilities and the level of support provided for reporting, should also submit biennial update reports containing updates of national greenhouse gas inventories, including a national inventory report and information on mitigation actions, needs and support received;”

~~2. Recognize the need for enhanced support;~~

2 bis Enhanced support for the preparation of biennial update reports will be ensured by developed country Parties by means of new and additional resources, under article 4.5 of the Convention.

~~3. Invitation to the GEF and to~~ Recognizing the urgent need for Annex II ~~and other~~ Parties to provide for provision of new and additional support for preparation of biennial update reports;

~~4. Frequency of submission of biennial update reports;~~

~~5. Flexibility in reporting;~~

~~6. Date of submission of the first biennial update reports.~~

Possible elements of draft guidelines for biennial update reports from Parties not included in Annex I to the Convention.

I. Introduction

1. Parties not included in Annex I to the Convention (non-Annex I Parties) shall submit **update** reports on **a** biennial basis as a component of their national communication ~~and in biennial update reports~~. Least Developed Countries (LDCs) and Small Island Developing States (SIDS) may submit biennial update reports at their discretion.

2. Non-Annex I Parties will implement these guidelines consistent with their capabilities and the level of support provided.

¹ The possible elements of draft guidelines for biennial update reports from developing country Parties presented here are ~~broadly~~ based ~~on the relevant sections of~~ the guidelines for the preparation of national communications from Parties not included in Annex I to the Convention as contained in the annex to decision 17/CP.8. ~~The mandatory language of this decision has been retained here.~~

A. Objectives

3. The objectives of the guidelines for the preparation of the biennial update reports from non-Annex I Parties are:

~~(a) To assist non-Annex I Parties in meeting their reporting requirements under Articles 4, paragraph 1(a) and 12 of the Convention and decision 1/CP.16;~~

(b) [To encourage the presentation of information in a consistent, transparent, ~~comparable~~², complete, accurate, timely and flexible manner, taking into account specific national and **domestic** sectoral circumstances];

(c) [To facilitate provision of information on mitigation actions and their effects.]

(d) To facilitate the presentation of information on **new and additional** finance, technology and ~~the~~ capacity building support required [and received] for the preparation of biennial update reports;

(e) [To serve as policy guidance to the operating entity of the financial mechanism for the timely provision of financial support needed by developing country Parties in order to meet the agreed full costs of complying with their obligations under Article 12, paragraph 1];

- (f) To enable enhanced reporting by non-Annex I Parties in accordance with their capacities and respective capabilities, and the availability of support;
- (g) To ensure that the Conference of the Parties (COP) has sufficient information to carry out its responsibility of assessing the aggregate effect of actions ~~the implementation of the Convention~~ by Parties.
- (h) [To facilitate the international consultations and analysis of biennial update reports under the Subsidiary Body for Implementation.]

B. Scope

4. The scope of biennial update reports is to provide an update to the most recently submitted national communication in the following areas:

(a) Information on national circumstances and on institutional arrangements relevant to the preparation of the national communications on a continuous basis²

(a) The national inventory of anthropogenic emissions by sources and removal by sinks of all greenhouse gases (GHGs) not controlled by the Montreal Protocol³, including a national inventory report;

(b) [Information on mitigation actions and their effects]-Programmes containing Measures to Mitigate Climate Change⁴;

(c) [Information on methodologies and assumptions];

(d) Constraints and Gaps, and Related Financial, Technical and Capacity Needs⁵, including a description of support needed and received;

(e) [Information on the level of support received to enable the preparation and submission of biennial update reports];

(f) [Information on domestic measurement reporting and verification];

(g) Any other information that the non-Annex I Party considers relevant to the achievement of the objective of the Convention and suitable for inclusion in its biennial update report.

II. National greenhouse gas inventory

5. Each non-Annex I Party shall, ~~in accordance with Article 4, paragraph 1(a), and Article 12, paragraph 1(a), of the Convention,~~ communicate to the COP an updated of its national inventory of anthropogenic emissions by sources and removals by sinks of all GHGs not controlled by the Montreal Protocol, to the extent [of the provision of funds from developed country Parties], and its capacities permit, following the provisions in these guidelines.

5bis. The updates of national inventories of anthropogenic emissions by sources and removals by sinks of all GHGs not controlled by the Montreal Protocol indicated in paragraph 5 should contain the most recent data on activity level based on the best information available multiplied by the emission factor reported in its previous National Communication; any change on the emission factor can only be made in the subsequent full National Communication.

² The use of term .comparable. is consistent with paragraph 1(b) of the annex to the decision 17/CP.8 . it does not refer to comparability in the context of decisions 1/CP.13 or 1/CP.16.

² Section II and part of the content of para 5 of the annex to Decision 17/CP.8

³ Section III of the annex to Decision 17/CP.8

⁴ Section IV.B of the annex to Decision 17/CP.8

⁵ Title of Section VI of the annex to Decision 17/CP.8

6. Each non-Annex I Party [shall] [should] submit inventory data ~~for the year~~ [according to the provision of funds] [2010] [N-X]³ [not more than Y years from the date of last submission] 2 years from the date of last submission. LDCs and SIDS [should] [may] estimate their national GHG inventories for recent years at their discretion [Developing country Parties whose share of global emissions is less than 1% may also estimate their national GHG inventories for recent years at their discretion]

~~7. Non-Annex I Parties should submit summary information tables of previously reported inventory or inventories (for example for years 1994 and 2000).~~

8. The inventory submission [shall][should] consist of a national inventory report (NIR), as an update of the inventory information contained in the previous National Communication.

A. Methodologies [Enabling environment to implement methodologies]

9. Non-Annex I Parties should use the current guidelines for the preparation of National Communications from Non-Annex I Parties (Decision 17/CP.8) ~~the IPCC Guidelines approved by the COP~~ for estimating and reporting their updated national GHG inventories, as appropriate for an update. ~~Parties may also continue to use UNFCCC NAI Greenhouse Gas Inventory Software to calculate and report emissions and removals, and report key category analysis.~~

~~10. In accordance with the IPCC Guidelines and depending on their capacity, Parties may use different methods (tiers) included in the IPCC Guidelines to estimate their emissions, giving priority to those methods which are believed to produce the most accurate estimates, depending on national circumstances and the availability of data.~~

~~11. The IPCC Guidelines offer a default methodology which includes default emission factors and in some cases default activity data. As these default factors, data and assumptions may not always be appropriate for specific national circumstances, non-Annex I Parties, as encouraged by the IPCC Guidelines, can also use national methodologies and regional emission factors and activity data for key sources, where they consider these to be better able to reflect their national situations, provided that these methodologies are more accurate than the default data and are documented transparently.~~

~~12. Non-Annex I Parties are encouraged to apply the IPCC good practice guidance, taking into account the need to improve transparency, consistency, comparability, completeness and accuracy in inventories.~~

~~13. Non-Annex I Parties are also encouraged, to the extent possible, to undertake any key category analysis as indicated in the IPCC good practice guidance to assist in developing inventories that better reflect their national circumstances;~~

14. [Non-Annex I Parties [should] include a national inventory report with information on the compilation of the inventory, including information on: institutional arrangements; analysis of key categories; methodologies, assumptions, emission factors and activity data used; level of uncertainty; [changes from previous years]; quality assurance/quality control; and identification of areas of improvement noting that accuracy will improve over time]

15. [Non-annex I Parties may use the [2006] IPCC Guidelines at their discretion.]

B. Reporting⁴ [Enabling environment for preparation of reporting]

16. Non-Annex I Parties [should][are encouraged to] describe updates to procedures and arrangements undertaken to collect and archive data for the preparation of national GHG inventories, as well as efforts to make this a continuous process, including information on the role of the institutions involved in the section entitled “Information on national circumstances and on institutional arrangements relevant to the preparation of the national communications on a continuous basis”⁶.

⁶ Section II and part of the content of para 5 of the annex to Decision 17/CP.8

17. Each non-Annex I Party ~~shall~~ **is encouraged**, as appropriate and to the extent possible, provide in its updated national inventory, ~~on a gas by gas basis and in units of mass~~, estimates of anthropogenic emissions of carbon dioxide (CO₂), methane (CH₄) and nitrous oxide (N₂O) by sources and removals by sinks.

~~³N-X denotes that data would be submitted for [x] years prior to the date of submission. For example, if biennial update reports were submitted in 2013, the data would be for 2011, in case of to N-2~~

~~⁴Some Parties have suggested that providing information in tabular formats may assist with streamlining reporting of biennial update reports.~~

18. Each non-Annex I Party, depending on its capacity and the significances of a gas is encouraged to also provide in its national inventory, ~~on a gas by gas basis and in units of mass~~, estimates on the following greenhouse gases: perfluorocarbons (PFCs), hydrofluorocarbons (HFCs) and sulphur hexafluoride (SF₆).

19. [Non-Annex I Parties should, to the extent possible, and if disaggregated data are available, report emissions from international aviation and marine bunker fuels separately in their inventories. Emission estimates from these sources should not be included in the national totals].

20. [Non-Annex I Parties [should] [wishing to] report on aggregated GHG emissions and removals expressed in CO₂ equivalents using the global warming potentials (GWPs) provided by the IPCC in its Second Assessment Report (.the 1995 IPCC GWP Values.) based on the effects of GHGs over a 100-year time horizon.]

21. Non-Annex I Parties [should] [are encouraged to] provide updated information on methodologies used in the estimation of anthropogenic emissions by sources and removals by sinks of GHGs not controlled by the Montreal Protocol, including on the sources of emission factors and activity data. [Where previously reported data has been recalculated, non-Annex I Parties should describe the reasons for the recalculation, the manner in which the recalculations have been undertaken and the effect in terms of emissions/removals reported.]

22. Non-Annex I Parties [should][are encouraged to] include in their biennial update reports the inventory sectoral tables and worksheets of the IPCC, in electronic format.

~~23. Non-Annex I Parties are encouraged to provide updated information on the level of uncertainty associated with inventory data and their underlying assumptions, and to describe the methodologies used, if any, for estimating these uncertainties.~~

III. Mitigation actions [supported by developed country Parties]

Option 1

24. Non-Annex I Parties [shall][are encouraged to] provide up-to-date information on actions to mitigate climate change, by addressing anthropogenic emission by sources and removals by sinks of all GHGs not controlled by the Montreal Protocol.

25. For each mitigation action or suite of mitigation actions [supported by developed countries and voluntarily reported for unsupported actions] [both supported and unsupported], [including those actions contained in document FCCC/AWGLCA/2011/INF.1] non-Annex I Parties are encouraged to provide the following [to the extent possible][as per respective capabilities and capacities].

(a) Name and description of the mitigation action, including up-to-date information on the nature of the action, [base year] [start date and time frame], coverage (i.e. sectors and gases), quantitative goals and progress indicators;

(b) Objectives of the policy or measure;

(c) Up-to-date information on the progress of implementation, and the results achieved, such as estimated outcomes (metrics depending on type of action) and estimated emissions reductions, to the extent possible. Highlight whether the policy or measure is in the planning stage or is adopted or whether it is under implementation;

(d) Information on their projected emissions and removals for the sectors reported in their GHG inventory, in accordance with their capacities and respective capabilities;

(e) [Supplementary information on incremental costs, related public or private investments, and expected benefits other than mitigation for each action or a group of actions];

[(f) Parties participating in bilateral and multilateral offset programmes should provide up-to-date information on offset programme elements including offset type, coverage, rules, including provisions for additionality, transparency, permanence and for prevention of double counting and leakage.

⁵ Definition of this term needs to be further elaborated .

(g) Up-to-date information on methodologies and assumptions (specific to the mitigation action, including where relevant, methods for determining the baseline used, business-as-usual information or according to national or other metrics).

Option 2⁶ (option to paragraphs 24 and 25)

Based on national circumstances, non-Annex I Parties are encouraged to provide, to the extent their capacities allow, information on programmes and measures implemented or planned, which contribute to mitigating climate change by addressing anthropogenic emissions by sources and removals by sinks of all GHGs not controlled by the Montreal Protocol, including, as appropriate, relevant information by key sectors on methodologies, scenarios, results, measures and institutional arrangements.

Option 3

Non-Annex I Parties shall provide updated information on the general description of steps taken or envisaged for formulating, implementing, publishing and regularly updating national and, where appropriate, regional programmes containing measures to mitigate climate change by addressing anthropogenic emissions by sources and removals by sinks of all greenhouse gases not controlled by the Montreal Protocol, and any other information they consider to be relevant to the achievement of the objective of the Convention⁷ and suitable for inclusion in their update reports. This information should only cover the period since the previous submission, whether National Communication or biennial update report.

IV. Finance, technology and capacity-building needs and support received

26. Non-Annex I Parties [shall] [should] also provide up-to-date information on constraints and gaps, and related financial, technical and capacity needs, including on financial resources, technology transfer, capacity-building, and technical support received from the Global Environment Facility (GEF), Annex II Parties, any other Parties, or bilateral and multilateral institutions, for activities relating to climate change and related financial, technical and capacity building needs, including for the preparation of the current biennial update report. The information should be based on the most recent information available and should cover two more recent years since the submission of the last report.

~~27. Non-Annex I Parties are encouraged to provide, to the extent their capacities permit, a list of actions proposed for financing (support needs), in accordance with Article 12, paragraph 4, of the Convention, in preparation for arranging the provision of technical and financial support. For Parties using the registry, information on mitigation actions, should aim to be consistent with information provided in the Registry.~~

28. With regard to the development and transfer of technology, non-Annex I Parties [shall] [should] provide information on country specific technology needs, which must be nationally determined, and technology support received, ~~that is support received for activities to promote, facilitate or enhance the development, transfer and diffusion of climate technologies; this information shall at least include the donor country or organization, the amount of the financial support received, the description of the activity or initiative, and the type of technology~~

⁷ Paragraph 37, Decision 17/CP.8

~~transferred, including on how this assistance has been utilized in support of the development and enhancement of endogenous capacities, technologies and know-how.~~

V. Submission

29. The information provided in accordance with these guidelines [shall] be communicated by each non-Annex I Party to the COP in a single document, in electronic format.

30. Non-Annex I Party should submit its biennial update report in [English] [any official UN language].

31. Additional or supporting information may be supplied through other documents, such as a technical annex.

⁶ Paragraph 40 of annex to the decision 17/CP.8

⁷ Such as measures being considered by the government for future implementation

VI. [Updating the guidelines

32. ~~These guidelines shall be reviewed and revised, as appropriate, in accordance with decisions of the COP.]~~
Also decides that in case of a future revision of the guidelines for the preparation of national communications from Parties not included in Annex I to the Convention, the content of biennial update reports may be revised by the Conference of the Parties, taking into account the difficulties encountered by non-Annex I Parties in the preparation of their biennial update reports.

VII. Financial Support

Decides that additional financial resources, corresponding to 30% of the total monetary amount provided for the preparation of the previous or current National Communication, shall be made available by Annex II Parties to non-Annex I Parties for the elaboration of a biennial update report.

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 @ 16.00

Non-paper by the co-facilitators

I. [Possible elements of draft decision to be included in the Registry]

1. Recall relevant decisions;
2. Recognize the need for support ~~for~~ implementation of nationally appropriate mitigation actions;
3. The secretariat will develop a prototype of the registry by thirty-sixth session of the SBI to enable a pilot phase and facilitate further discussion,;
4. ~~[The Subsidiary Body for Implementation at its [thirty-fifth] [thirty-sixth] session will further elaborate the modalities and functions of the registry with a view to adopting a decision at the eighteenth session of the COP.]~~
5. (...)

Registry

1. The Conference of the Parties (COP), through its decision 1/CP.16¹, ~~called for the~~ set up of a registry to record nationally appropriate mitigation actions seeking international support and to facilitate matching of finance, technology and capacity-building support for these actions. The COP also decided to recognize mitigation actions of developing country Parties.
2. The registry will be developed as a dynamic, user-friendly web-based searchable platform that facilitates matching of support to individual mitigation actions and recognizes recorded nationally appropriate mitigation actions upon request.

Option to paragraph 2 above:

Given the matching of support function, the Registry should be part of the Financial Mechanism of the Convention and should operate under the Standing Committee on Finance.

3. Participation in the registry, including the submission of information to the registry, will be voluntary and will depend on availability of information.
4. The registry will be structured in a manner that enables the full range of diversity of nationally appropriate mitigation actions to be reflected.

¹ Decision 1/CP.16, paragraph 53.

I. Functions of the registry

A. Recording

5. One part of the registry will record information provided by Parties on:
 - (a) Individual nationally appropriate mitigation actions seeking international support;
 - (b) Support available from developed country Parties for these actions;
 - (c) Support provided for individual nationally appropriate mitigation actions.
6. Subsequent to matching of support with actions, the registry will record both supported mitigation actions and associated support.
7. A separate part of the registry will record the following information on [domestically funded] [domestically funded and internationally supported] mitigation actions submitted by developing country Parties for the purpose of their recognition, upon the request by developing country Parties:
 - (a) A description of the mitigation action;
 - (b) Estimate cost of the mitigation action;
 - (c) Estimated emission reductions outcome [\[and other indicators\]](#);
 - (d) Anticipated time-frame for implementation;
 - ~~(e) Co-benefits to local sustainable development, if information exists.~~
8. Developing country Parties are also invited to communicate their mitigation actions as per paragraphs 59 ~~(a)~~, (b) ~~and (e)~~ of decision 1/CP.16 through the secretariat. [\[The secretariat will regularly update document FCCC/AWGLCA/2011/INF.1 on this basis\]](#).
9. The secretariat will support implementation of the above functions of the registry.

B. Facilitate matching of actions with support

10. The registry will facilitate matching of action with support through provision of information on nationally appropriate mitigation actions seeking support and information on support available. It will be able to connect proponents of mitigation actions and potential sources of support via a simple, searchable web-based platform that lists mitigation actions seeking support as well as support available.

Option to paragraph 10 above:

The [Green Climate Fund] [Financial Mechanism] may, in accordance with guidelines to be adopted by the COP, disburse funds for implementation of individual mitigation actions submitted to the registry. The registry will generate reports, as per information on nationally appropriate mitigation actions seeking support submitted by developing country Parties, to facilitate matching of support.

11. For the function of facilitating matching of support with action, the following information on action and support will be needed:

1. Information on action

12. Developing country Parties [\[may\]](#)[will] [are invited to] submit through the secretariat the following information on individual nationally appropriate mitigation actions seeking international support:
 - (a) A description of the mitigation action;
 - (b) Estimated [incremental] costs of the mitigation action;
 - (c) Estimated emission [reductions] [outcome] [the mitigation result] [or other indicators of implementation] [based on the understanding that the commitment is to implement the action and not to the outcome];
 - (d) The expected time frame for implementation;
 - (e) [The technology [transfer][requested]];

(f) As appropriate, capacity-building support required to implement the mitigation action, and an estimate of the full agreed costs of activities enabling the action;

~~[(g) Co-benefits for local sustainable development, if information exists;]~~

~~[(h) A description of the anticipated implementing agency.]~~

~~[13. Developing country Parties may also submit information on their mitigation actions/goals if they wish.]~~

2. Information on support

14. Developed country Parties [and other sources of funding] [will] [are invited to] submit through the secretariat the following information on support available and provided:

- (a) Name of the source of support;
- (b) Name of the executing agency or the organization channeling the fund, including contact information;
- (c) Amount of support available, including information on the currency;
- (d) Type of finance (grant, facilitated loan, ~~[equity investment]~~ or other);
- (e) Types of actions that may be supported and eligibility criteria, if applicable;
- (f) Status of delivery, related future timeframe and individual actions supported;
- (g) Whether the support available is categorized as official development aid;
- (h) Amount contributed by the private sector.

15. To maximize opportunities for support, all other sources from developed country Parties, ~~[potential donors;]~~ including bilateral, regional, multilateral, public and private, are encouraged to also submit information on support available to assist developing countries in preparation and implementation of nationally appropriate mitigation actions seeking support.

16. Information on support submitted to the registry will be organized and presented to create a useful resource describing sources of support according to the thematic areas and geographical areas they support, links to their eligibility criteria and project cycle descriptions, as well as information about projects recently financed.

**AD HOC WORKING GROUP ON LONG-TERM COOPERATIVE ACTION
UNDER THE CONVENTION**

Fourteenth session (third part)
Panama City, 1.7 October 2011\

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 text1 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 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 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

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

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 [national] 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 mitigation actions 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 [analyse] whether a Party's actions are implemented [and effective] in achieving their objective [s];]
 - (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 [under the SBI] is to promote transparency of developing country mitigation actions [and GHG emissions] 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 the Party concerned;
 - (d) Take into account the wider economic and development needs of the Party concerned, as well as its national circumstances;
 - (e) [Promote] universal participation with 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 [in accordance with Articles 4,3 and 12.1 of the Convention];
 - (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.

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 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 [country] 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 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].

14. The country concerned could [should] respond to the questions or suggestions of the expert team. [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. 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. 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, followed by an oral question and answer session between [regional group representatives][Parties] and the Party concerned. Other Parties could participate as observers;
- (b) During the two-week period following the consultation process, any Party 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.

3. Outputs

18. A summary report, prepared by the secretariat, would be issued to include the following:

- (a) [A technical expert analysis report referred to in paragraph 15 and 16 (a);]
- (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].

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.

**AD HOC WORKING GROUP ON LONG-TERM COOPERATIVE ACTION UNDER THE CONVENTION Fourteenth session (third part)
Panama City, 1-7 October 2011**

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 for adoption of guidelines for biennial update reports from Parties not included in Annex I to the Convention]

1. *Recall relevant decisions;*
2. *Recognizing the need for better information on national emissions and climate change policies from all Parties to more accurately judge the extent of global climate change and the effectiveness of the global response*
3. *Recognize the need for enhanced support;*
4. *Invitation to the GEF and to Annex II and other Parties for provision of support for preparation of biennial update reports;*
5. *Frequency of submission of biennial update reports;*
6. *Flexibility in reporting;*
7. *Date of submission of the first biennial update reports.*

Possible elements of draft guidelines for biennial update reports from Parties not included in Annex I to the Convention¹

I. Introduction

1. Parties not included in Annex I to the Convention (non-Annex I Parties) shall submit reports on [a] biennial basis as a component of their national communication and in biennial update reports. Least Developed Countries (LDCs) and Small Island Developing States (SIDS) may submit biennial update reports at their discretion.
2. [Non-Annex I Parties will implement these guidelines consistent with their capabilities and the level of support provided].

A. Objectives

3. The objectives of the guidelines for the preparation of the biennial update reports from non-Annex I Parties are:
 - (a) To assist non-Annex I Parties in meeting their reporting requirements under Articles 4, paragraph 1(a) and 12 of the Convention and decision 1/CP.16;
 - (b) [To encourage the presentation of information in a consistent, transparent, comparable², complete, accurate, timely []taking into account specific national [] circumstances]

- (c) [To facilitate provision of information on mitigation actions and their effects by developing country Parties.]
- (d) To facilitate the presentation of information on finance, technology and the capacity-building support required [and received] for the preparation of biennial update reports;
- (e) [To serve as [a source of] policy guidance to the operating entity of the financial mechanism for the timely provision of financial support needed by developing country Parties in order to meet the agreed full costs of complying with their obligations under Article 12, paragraph 1];
- (f) To enable enhanced reporting by non-Annex I Parties in accordance with their capacities and respective capabilities, and the availability of support;
- (g) To ensure that the Conference of the Parties (COP) has sufficient information to carry out its responsibility of assessing the implementation of the Convention by Parties.
- (h) [To facilitate the international consultations and analysis of biennial reports under the Subsidiary Body for Implementation.]

B. Scope

4. The scope of biennial update reports is to provide an update to the most recently submitted national communication in the following areas:

- (a) The national inventory of anthropogenic emissions by sources and removal by sinks of all greenhouse gases (GHGs) not controlled by the Montreal Protocol, including a national inventory report;
- (b) [Information on mitigation actions and their effects];
- (c) [Information on methodologies and assumptions];
- (d) A description of support needed and received;
- (e) [Information on the level of support received to enable the preparation and submission of biennial update reports];
- (f) [Information on domestic measurement reporting and verification [systems]];
- (g) Any other information that the non-Annex I Party considers relevant to the achievement of the objective of the Convention and suitable for inclusion in its biennial update report.

II. National greenhouse gas inventory

5. Each non-Annex I Party shall, in accordance with Article 4, paragraph 1(a), and Article 12, paragraph 1(a), of the Convention, communicate to the COP an updated national inventory of anthropogenic emissions by sources and removals by sinks of all GHGs not controlled by the Montreal Protocol, [to the extent [of the provision of funds from developed country Parties], and its capacities permit, following the provisions in these guidelines].

2

The use of term —comparable“ is consistent with paragraph 1(b) of the annex to the decision 17/CP.8

6. Each non-Annex I Party [shall] [should] submit inventory data for the year [according to the provision of funds] [2010] [N-X]³ [not more than Y years from the date of last submission]. LDCs and SIDS [should] [may] estimate their national GHG inventories for recent years at their discretion [Developing country Parties whose share of global emissions is less than 1% [of the global total] may also estimate their national GHG inventories for recent years at their discretion]

Non-Annex I Parties should submit summary information tables of previously reported inventory or inventories (for example for years 1994 and 2000).

8. The inventory submission [shall][should] [] [include] a national inventory report (NIR).

A. Methodologies [Enabling environment to implement methodologies]

9. Non-Annex I Parties should use the IPCC Guidelines approved by the COP for estimating and reporting their updated national GHG inventories. Parties may also continue to use UNFCCC NAI Greenhouse Gas Inventory Software to calculate and report emissions and removals, and report key category analysis.
10. In accordance with the IPCC Guidelines and depending on their capacity, Parties may use different methods (tiers) included in the IPCC Guidelines to estimate their emissions, giving priority to those methods which are believed to produce the most accurate estimates, depending on national circumstances and the availability of data.
11. The IPCC Guidelines offer a default methodology which includes default emission factors and in some cases default activity data. As these default factors, data and assumptions may not always be appropriate for specific national circumstances, non-Annex I Parties, as encouraged by the IPCC Guidelines, can also use national methodologies and regional emission factors and activity data for key sources, where they consider these to be better able to reflect their national situations, provided that these methodologies are more accurate than the default data and are documented transparently.
12. Non-Annex I Parties are encouraged to apply the IPCC good practice guidance, taking into account the need to improve transparency, consistency, comparability, completeness and accuracy in inventories.
13. Non-Annex I Parties are also encouraged, to the extent possible, to undertake any key category analysis as indicated in the IPCC good practice guidance to assist in developing inventories that better reflect their national circumstances;
14. [Non-Annex I Parties [should] include a national inventory report with information on the compilation of the inventory, including information on: institutional arrangements; analysis of key categories; methodologies, assumptions, emission factors and activity data used; level of uncertainty; [changes from previous years]; quality assurance/quality control; and identification of areas of improvement noting that accuracy will improve over time]
15. [Non-annex I Parties [] [are encouraged to] use the [2006] IPCC Guidelines [and the GWPs in the Fourth Assessment Report, in accordance with their capacity] [.]

B. Reporting ⁴ [Enabling environment for preparation of reporting]

16. Non-Annex I Parties [should][are encouraged to] describe updates to procedures and arrangements undertaken to collect and archive data for the preparation of national GHG inventories, as well as efforts to make this a continuous process, including information on the role of the institutions involved.
17. Each non-Annex I Party shall, as appropriate and to the extent possible, provide in its updated national inventory, on a gas-by-gas basis and in units of mass, estimates of anthropogenic emissions of carbon dioxide (CO₂), methane (CH₄) and nitrous oxide (N₂O) by sources and removals by sinks. Depending on its capacity and the significance ⁵ of a gas[’s contribution to its national GHG emissions total,] each non-Annex I Party [should] provide, on a gas-by-gas basis and in units of mass, estimates on all other gases not controlled by the Montreal Protocol.

³ *N-X denotes that data would be submitted for [x] years prior to the date of submission. For example, if biennial update reports were submitted in 2013, the data would be for 2011, in case of to N-2*

⁴ *Some Parties have suggested that providing information in tabular formats may assist with streamlining reporting of biennial update reports.*

18. [Each non-Annex I Party, depending on its capacity and the significance ⁵ of a gas is encouraged to also provide in its national inventory, on a gas-by-gas basis and in units of mass, estimates on the following greenhouse gases: perfluorocarbons (PFCs), hydrofluorocarbons (HFCs) and sulphur hexafluoride (SF₆)] [Non-Annex I Parties should, to the extent possible, and if disaggregated data are available, report emissions from international aviation and marine bunker fuels separately in their inventories. Emission estimates from these sources should not be included in the national totals].

19. [Non-Annex I Parties [should] [wishing to] report on aggregated GHG emissions and removals expressed in CO₂ equivalents using the global warming potentials (GWPs) provided by the IPCC in its Second Assessment Report (—the 1995 IPCC GWP Values“) based on the effects of GHGs over a 100-year time horizon.]
20. Non-Annex I Parties [should][are encouraged to] provide updated information on methodologies used in the estimation of anthropogenic emissions by sources and removals by sinks of GHGs not controlled by the Montreal Protocol, including on the sources of emission factors and activity data. [Where previously reported data has been recalculated, non-Annex I Parties should describe the reasons for the recalculation, the manner in which the recalculations have been undertaken and the effect in terms of emissions/removals reported.]
21. Non-Annex I Parties [should] [are encouraged to] include in their biennial update reports the inventory sectoral tables and worksheets of the IPCC, in electronic format.
22. Non-Annex I Parties [shall] [are encouraged to] provide updated information on the level of uncertainty associated with inventory data and their underlying assumptions, and to describe the methodologies used, if any, for estimating these uncertainties.

III. Mitigation actions [supported by developed country Parties]

Option 1

23. Non-Annex I Parties [shall][are encouraged to] provide up-to-date information on actions to mitigate climate change, by addressing anthropogenic emission by sources and removals by sinks of all GHGs not controlled by the Montreal Protocol.
24. For each mitigation action or suite of mitigation actions [supported by developed countries and voluntarily reported for unsupported actions] [both supported and unsupported], [including those actions contained in document FCCC/AWGLCA/2011/INF.1] non-Annex I Parties are encouraged to provide the following [to the extent possible][as per respective capabilities and capacities].
 - (a) Name and description of the mitigation action, including up-to-date information on the nature of the action, [base year] [start date and time frame], coverage (i.e. sectors and gases), quantitative goals and progress indicators;
 - (b) Objectives of the policy or measure;
 - (c) Up-to-date information on the progress of implementation, and the results achieved, such as estimated outcomes (metrics depending on type of action) and estimated emissions reductions, to the extent possible. Highlight whether the policy or measure is in the planning stage or is adopted or whether it is under implementation;
 - (d) Information on their projected emissions and removals for the sectors reported in their GHG inventory, in accordance with their capacities and respective capabilities;
 - (e) [Supplementary information on incremental costs, related public or private investments, and expected benefits other than mitigation for each action or a group of actions];
 - (f) Parties participating in bilateral and multilateral offset programmes should provide up to-date information on offset programme elements including offset type, coverage, rules, including leakage.

5

Definition of this term needs to be further elaborated.

- (g) Up-to-date information on methodologies and assumptions (specific to the mitigation action, including where relevant, methods for determining the baseline used, business-as-usual information or according to national or other metrics).
- (h) up-to-date information on domestic verification systems;

Option 2⁶ (option to paragraphs 24 and 25)

Based on national circumstances, non-Annex I Parties are encouraged to provide, to the extent their capacities allow, information on programmes and measures implemented or planned⁷ which contribute to mitigating climate change by addressing anthropogenic emissions by sources and removals by sinks of all GHGs not controlled by the Montreal Protocol, including, as appropriate, relevant information by key sectors on methodologies, scenarios, results, measures and institutional

IV. Finance, technology and capacity-building needs and support received

25. Non-Annex I Parties [shall] [should] also provide up-to-date information on financial resources, technology transfer, capacity-building, and technical support received from the Global Environment Facility (GEF), Annex II Parties, any other Parties, or bilateral and multilateral institutions, for activities relating to climate change and related financial, technical and capacity building needs, including for the preparation of the current biennial update report. The information should be [presented in relation to mitigation outcomes achieved through use of the support,] based on the most recent information available and should cover [at least] two more recent years since the submission of the last report.
26. Non-Annex I Parties are encouraged to provide, to the extent their capacities permit, a list of actions proposed for financing (support needs), in accordance with Article 12, paragraph 4, of the Convention, in preparation for arranging the provision of technical and financial support. For Parties using the registry, information on mitigation actions, should aim to be consistent with information provided in the Registry.
27. With regard to the development and transfer of technology, non-Annex I Parties [shall] [should] provide information on country-specific technology needs and technology support received, that is support received for activities to promote, facilitate or enhance the development, transfer and diffusion of climate technologies; this information shall at least include the donor country or organization, the amount of the financial support received, the description of the activity or initiative, and the type of technology transferred, including on how this assistance has been utilized in support of the development and enhancement of endogenous capacities, technologies and know-how.

V. Submission

29. The information provided in accordance with these guidelines [shall] be communicated by each non-Annex I Party to the COP in a single document, in electronic format.

Non-Annex I Party should submit its biennial update report in [English] [any official UN

30. Non-Annex I Party should submit its biennial update report in [English] [any official UN language].

31. Additional or supporting information may be supplied through other documents, such as a technical annex.

⁶

Paragraph 40 of annex to the decision 17/CP.8

⁷

Such as measures being considered by the government for future implementation

VI. [Updating the guidelines]

32. These guidelines shall be reviewed and revised, as appropriate, in accordance with decisions of the COP.]

China's submission on the Agenda item 3.2.2 of AWG-LCA 14

This submission is prepared as input to co-facilitator's non-paper on "possible elements of draft guidelines for biennial update reports from Parties not included in Annex I to the Convention", "Possible elements of modalities and procedures for international consultation and analysis" and "registry", co-facilitators' summary of discussion on matters relating to paragraphs 48-51 of the Cancun Agreements, which updated by the co-facilitators on 14 October 2011 on the website of UNFCCC.

Comments on Non-paper by the co-facilitator on possible elements of draft guidelines for biennial update reports from Parties not included in Annex 1 to the Convention

General Comments:

In order to avoid duplicate reporting guidelines between Non-Annex I national communication and biennial update report as part of national communication, It is suggested to refer back to relevant paragraphs in 17/CP.8 to avoid inconsistency and confusion. It is also suggested to delete "objective" section, as the objective of national communication has been agreed in 17/CP.8. As part of national communication, there is no need to develop additional objectives for biennial update reports.

Specific Comments:

Add the following paragraph as alternative to Para 1-4

Parties not included in Annex I to the Convention, consistent with their capacities, data availabilities and the level of support received for reporting, should submit biennial update reports containing updated information of national greenhouse gas inventories, information on mitigation actions, finance technological and capacity-building needs and support received.

Add the following paragraph under subtitle of "II National greenhouse gas inventory" as an alternative option to Para 5-23 and bracket Para 5-23

Parties not included in Annex I to the Convention should submit updates of national greenhouse gas inventories according to paragraphs 8-24 in the guidelines for the preparation of national communication from Parties not included in Annex I to the Convention as contained in the annex to decision 17/CP.8. The scope of updates on national greenhouse gas inventories should be consistent with capacities, data availabilities and the level of support provided by developed countries parties for biennial update reporting.

Add the following paragraph under subtitle of "III Mitigation Actions" as an alternative option to current option 1 and option 2, delete "Mitigation Actions" the subtitle and replace by "Measures to mitigate climate change"

Parties not included in Annex I to the Convention should submit update information on measures to mitigate climate change according to paragraphs 40 in the guidelines for the preparation of national communication from Parties not included in Annex I to the Convention as contained in the annex to decision 17/CP.8. The scope of updates on measures to mitigate climate change should be consistent with capacities, data availabilities and the level of support provided by developed countries parties for biennial update reporting.

Add the following paragraph under subtitle of "IV Finance, technology and capacity-building needs and support" as an alternative option to current Para 26-28

Parties not included in Annex I to the Convention should submit update information on finance, technology and capacity-building needs and support according to paragraphs 49, 52 and 54 in the guidelines for the preparation of national communication from Parties not included in Annex I to the Convention as contained in the annex to decision 17/CP.8. The scope of updates on finance, technology and capacity-building needs and support should be consistent with capacities, data availabilities and the level of support provided by developed countries parties for biennial update reporting.

Add the following paragraph under the subtitle of “Submission”

Parties not included in Annex I to the Convention should submit biennial update reports two years after submission of national communications. Parties not included in Annex I to the Convention should initiate the process for preparing biennial update report when funding on agreed full cost basis has been received. Least Developed Countries (LDCs) and Small Island Developing States (SIDS) may submit biennial update reports at their discretion.

Comments on Non-paper by the co-facilitator on possible elements of modalities and procedures for international consultation and analysis

The following elements should be integrated in option 2 in page 5.

Input:

The input for international consultation and analysis are biennial update reports submitted by Parties not included in Annex I to the Convention

Process:

- 1, SBI will appoint a team of technical experts to conduct international consultation and analysis with Parties concerned. The selection of technical experts will reflect regional balance.
- 2, The experts will consult with Parties concerned with the objective of improving the process of preparation of biennial update reports from non-Annex I Parties by providing technical advice and support to non-Annex I Parties.
- 3, The experts will conduct centralized technical analysis on biennial update report submitted by Parties not included in Annex I to the Convention.
- 4, The experts will prepare a technical summary report to SBI based on consultation and analysis.

Output:

The output of ICA will be the summary report prepared by technical experts authorized by SBI. The report will be noted by SBI.

SUBMISSION FROM COLOMBIA ON THE NON-PAPERS RELATED TO AGENDA

ITEMS 3.2.1: NATIONALLY APPROPRIATE MITIGATION ACTIONS BY DEVELOPING COUNTRY PARTIES

The following are the concrete suggestions of Colombia to the three non papers related to the agenda item 3.2.2 on Nationally appropriate mitigation actions by developing country Parties:

Registry:

I. Possible elements of draft...

3. (...) further discretion. This shall include the development of a NAMA format that could be used and/or modified by parties that choose to do so;

I. Functions of the registry

A. Recording

7. [A separate part of]....

c. Estimated emissions reductions outcome and [or] other indicators

8. (...) of decision 1/CP.16 in the format specified above, and clarifying source of funding planned or expected,

B. Facilitate matching actions with support.

Option to paragraph 10 above/ or in addition to paragraph 10

1. Information on action

12. (...)

h. A description of the anticipating implementing agency or agencies

i. Costs incurred in formulating the action

2. Information on support

14. (...)

e. Types of action that may be supported and eligibility criteria [of such actions] ,
if applicable

ICA:

I. Objectives

1. (...)

(h) (...) document FCCC/AWGLCA/2011/INF.1 and those subsequently added by parties have been implemented.

II. Principles

1. (...)

(j) (...) commitment on provision of support and effective delivery channels;

III. Process and scope

2. Scope

6bis (...) National Communications and relevant sections of National Communications.

A. Technical analysis

1. Inputs

7. (...)

(b). (...) mitigation actions, their effects when possible and associated methodologies and assumptions;

2. Process

13. (...) visits, as necessary]. This will be coordinated and facilitated by the secretariat.

B.[International Consultations

2. Process

17 . (...)

(c) A transcript of the questions and their answers will be published by the secretariat after that period, in the UNFCCC website.

Biennial for developing country parties:

I. Introduction

2. (...) support provided, improvements and additions to these guidelines should be pursued by parties as lessons learned from the first and consecutive delivery of biennial reports and ICA processes emerge.

B. Scope

4. (...)

(b) [Information on mitigation actions and their effects], when possible;

II. National Greenhouse Inventory

5. (...) [of the provision of funds from developed country Parties] and their effective delivery, and its capacities permit (...)

IV. Finance, technology (...)

27. (...) For parties using the registry, information on mitigation actions, should [aim to] be consistent with information provided in the Registry.

**Japan's submission on mitigation
(Agenda item 3.2.1 and 3.2.2)**

I. Overarching comments on mitigation

Japan reiterates its willingness to share with all countries the goal of achieving at least 50% reduction of global emissions by 2050, recognizing the 2 degrees global goal as confirmed in the Cancun Agreements.

To achieve these goals, it is necessary to expeditiously adopt a new comprehensive legally-binding document which establishes a fair and effective international framework with participation of all major economies.

Although it seems difficult to promptly realize this ultimate objective, it is important to make a significant progress at Durban to this end, through defining clear steps.

In concrete, following elements are particularly important to be decided at Durban, in relation to mitigation;

➤ **Operationalization of the Cancun Agreements as a basis for post-2012 climate regime and a comprehensive framework**

A robust MRV system and newly established mechanisms such as the Green Climate Fund, the Adaptation Framework, the Technology Mechanism and new market mechanisms need to be operationalized in a balanced manner, as these mechanisms will serve as a basis for post-2012 climate regime and for a comprehensive framework.

➤ **Mitigation efforts**

It is important for all major emitters to steadily implement their pledges without waiting for the establishment of a comprehensive framework.

Launching a process to clarify and update mitigation targets/actions of all major emitters anchored under the Cancun Agreements by using a common template would be a useful and practical step forward.

➤ **Enhanced MRV**

In order to ensure transparency of mitigation efforts of all major emitters, the establishment of a robust MRV system is indispensable. Parties should decide the guidelines of the biennial (update) reports and on modalities and procedures of IAR/ICA at COP17, based on which Parties submit the 1st biennial (update) reports in 2013.

➤ **Rule-based mechanism**

Discussion on rule-based mechanism in a post-2012 climate regime and in a

comprehensive framework should be initiated under the AWG-LCA. In addition to above-mentioned newly establishing mechanisms and robust MRV system, utilizing some elements of the Kyoto Protocol with necessary improvements should be taken into account.

Regarding the issue of accounting rules including market mechanisms, Japan believes accounting rules in post-2012 climate regime and in a comprehensive framework should be applicable to both developed and developing countries and designed to ensure environmental integrity and transparency, as well as flexibility to accommodate each country's circumstances and to maximize mitigation efforts.

➤ **Toward comprehensive framework**

Discussion to adopt a new comprehensive legally-binding document should be initiated as soon as possible. With inputs from the biennial (update) reports and IAR/ICA, the Fifth Assessment Report of the IPCC, lessons learned from the 1st commitment period of the Kyoto Protocol and all other available information, the 2013-2015 review process should be conducted so as to make valuable inputs to the discussion.

➤ **Other key drivers for achieving global mitigation**

Parties should recognize the importance of technology innovation. Parties should also make progress in transfer and promotion of low carbon technology and establishment and effective use of new market mechanisms. Parties should decide to continue support for developing countries beyond 2012, especially for vulnerable countries such as LDCs, Africa, and SIDS.

II. Comments on non-papers:

Please refer to attachments for comments on non-papers by the co-facilitators:

- Attachment 1: Matters relating to paragraphs 36-38 of the Cancun Agreements (Agenda item 3.2.1)
- Attachment 2: Matters relating to paragraphs 48-51 of the Cancun Agreements (Agenda item 3.2.2)
- Attachment 3: Guidelines for the biennial reports of developed country Parties (Agenda item 3.2.1)
- Attachment 4: Modalities and procedures for international assessment and review (Agenda item 3.2.1)
- Attachment 5: Guidelines for the biennial update reports from Parties not included in Annex I to the Convention (Agenda item 3.2.2)
- Attachment 6: Modalities and procedures for international consultation and analysis (Agenda item 3.2.2)
- Attachment 7: Elements of draft decision to be included in the Registry (Agenda item 3.2.2)

**AD HOC WORKING GROUP ON LONG-TERM COOPERATIVE ACTION
UNDER THE CONVENTION**

Fourteenth session (third part)

Panama City, 1.7 October 2011

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 text¹ 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 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 will be conducted on a biennial basis. 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].

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

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 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;
- (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 mitigation actions 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 [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 difficulties faced by the Party concerned with respect to development of greenhouse gas inventories.
- (f) 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] 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 the Party concerned;
- (d) Take into account the wider economic and development needs of the Party concerned, as well as its national circumstances;
- (e) [Promote] universal participation with 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 provide an opportunity to assess the progress in implementation of mitigation actions of each developing country party and identify possible policy of options to improve their outcomes if necessary;

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.

A. Technical analysis

1. Inputs

- 7. The technical analysis of biennial [update] reports will focus on:
 - (a) Greenhouse gas inventories and national inventory report ;
 - (b) Information on [unsupported] mitigation actions, including a description, analysis of the impacts and associated methodologies and assumptions;
 - (c) [Progress of 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].

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] Partynominated 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 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].
14. The country concerned could respond to the questions or suggestions of the expert team. [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. 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. 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, followed by an oral question and answer session between [regional group representatives][Parties] and the Party concerned. Other Parties could participate as observers;
- (b) During the two-week period following the consultation process, any Party 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.

3. Outputs

18. A summary report, prepared by the secretariat, would be issued to include the following:

- (a) [A technical expert analysis report referred to in paragraph 15 and 16 (a);]
- (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].

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.

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Fourteenth session (third part)

Panama City, 1.7 October 2011

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 for adoption of guidelines for biennial update reports from Parties not included in Annex I to the Convention]

1. *Recall relevant decisions;*
2. *Recognize the need for enhanced support;*
3. *Invitation to the GEF and to Annex II and other Parties for provision of support for preparation of biennial update reports;*
4. *Frequency of submission of biennial update reports;*
5. *Flexibility in reporting;*
6. *Date of submission of the first biennial update reports.*

Possible elements of draft guidelines for biennial update reports from Parties not included in Annex I to the Convention¹

I. Introduction

1. Parties not included in Annex I to the Convention (non-Annex I Parties) shall submit reports on biennial basis as a component of their national communication and in biennial update reports. Least Developed Countries (LDCs) and Small Island Developing States (SIDS) may submit biennial update reports at their discretion.
2. Non-Annex I Parties will implement these guidelines consistent with their capabilities and the level of support provided.

A. Objectives

3. The objectives of the guidelines for the preparation of the biennial update reports from non-Annex I Parties are:
 - (a) To assist non-Annex I Parties in meeting their reporting requirements under Articles 4, paragraph 1(a) and 12 of the Convention and decision 1/CP.16;
 - (b) To encourage the presentation of information in a consistent, transparent, comparable, complete, accurate, timely and flexible manner, taking into account specific national circumstances;
 - (c) [To facilitate provision of information on mitigation actions and their effects.]
 - (d) To facilitate the presentation of information on finance, technology and the capacity building support required [and received] for the preparation of biennial update reports;

- (e) [To provide elements to consider policy guidance to the operating entity of the financial mechanism for the timely provision of financial support needed by developing country Parties in order to meet the agreed full costs of complying with their obligations under Article 12, paragraph 1];
- (f) To enable enhanced reporting by non-Annex I Parties in accordance with their capacities and respective capabilities, and the availability of support;
- (g) To ensure that the Conference of the Parties (COP) has sufficient information to carry out its responsibility of assessing the implementation of the Convention by Parties.
- (h) To facilitate the international consultations and analysis of biennial reports under the Subsidiary Body for Implementation.

B. Scope

4. The scope of biennial update reports is to provide an update to the most recently submitted national communication in the following areas:

- (a) The national inventory of anthropogenic emissions by sources and removal by sinks of all greenhouse gases (GHGs) not controlled by the Montreal Protocol, including a national inventory report;
- (b) Information on mitigation actions and their effects;
- (c) Information on methodologies and assumptions that are associated with (a) and (b) ;
- (d) A description of support needed and received;
- (e) [Information on the level of support received to enable the preparation and submission of biennial update reports];
- (f) Information on the implementation and progress of domestic measurement reporting and verification;
- (g) Any other information that the non-Annex I Party considers relevant to the achievement of the objective of the Convention and suitable for inclusion in its biennial update report.

II. National greenhouse gas inventory

5. Each non-Annex I Party shall, in accordance with Article 4, paragraph 1(a), and Article 12, paragraph 1(a), of the Convention, communicate to the COP an updated national inventory of anthropogenic emissions by sources and removals by sinks of all GHGs not controlled by the Montreal Protocol, to the extent [of the provision of funds from developed country Parties], and its capacities permit, following the provisions in these guidelines.

6. Each non-Annex I Party shall submit inventory data for the year 2010 according to their capabilities and the provision of support. Each non-Annex I Party shall update their inventory data when they submit their biennial report and national communication subsequently. LDCs and SIDS may estimate their national GHG inventories for recent years at their discretion. Developing country Parties whose share of global emissions is less than 1% may also estimate their national GHG inventories for recent years at their discretion.

7. Non-Annex I Parties should submit summary information tables of previously reported inventory or inventories (for example for years 1994 and 2000).

8. The inventory submission shall consist of a national inventory report (NIR).

A. Methodologies [Enabling environment to implement methodologies]

9. Non-Annex I Parties should use the IPCC Guidelines approved by the COP for estimating and reporting their updated national GHG inventories. Parties may also continue to use UNFCCC NAI Greenhouse Gas Inventory Software to calculate and report emissions and removals, and report key category analysis.

10. In accordance with the IPCC Guidelines and depending on their capacity, Parties may use different methods (tiers) included in the IPCC Guidelines to estimate their emissions, giving priority to those methods which are believed to produce the most accurate estimates, depending on national circumstances and the availability of data.

11. The IPCC Guidelines offer a default methodology which includes default emission factors and in some cases default activity data. As these default factors, data and assumptions may not always be appropriate for specific national circumstances, non-Annex I Parties, as encouraged by the IPCC Guidelines, can also use national methodologies and regional emission factors and activity data for key sources, where they consider these to be better able to reflect their national situations, provided that these methodologies are more accurate than the default data and are documented transparently.

12. Non-Annex I Parties are encouraged to apply the IPCC good practice guidance, taking into account the need to improve transparency, consistency, comparability, completeness and accuracy in inventories.

13. Non-Annex I Parties are also encouraged, to the extent possible, to undertake any key category analysis as indicated in the IPCC good practice guidance to assist in developing inventories that better reflect their national circumstances;

14. Non-Annex I Parties shall include a national inventory report with information on the compilation of the inventory, including information on: institutional arrangements; analysis of key categories; methodologies, assumptions, emission factors and activity data used; level of uncertainty; [changes from previous years]; quality assurance/quality control; and identification of areas of improvement noting that accuracy will improve over time.

15. Non-annex I Parties may use the [2006] IPCC Guidelines at their discretion.

B. Reporting⁴ [Enabling environment for preparation of reporting]

16. Non-Annex I Parties [should][are encouraged to] describe updates to procedures and arrangements undertaken to collect and archive data for the preparation of national GHG inventories, as well as efforts to make this a continuous process, including information on the role of the institutions involved.

17. Each non-Annex I Party shall, as appropriate and to the extent possible, provide in its updated national inventory, on a gas-by-gas basis and in units of mass, estimates of anthropogenic emissions of carbon dioxide (CO₂), methane (CH₄) and nitrous oxide (N₂O) by sources and removals by sinks.

18. Each non-Annex I Party, depending on its capacity and the significance⁵ of a gas is encouraged to also provide in its national inventory, on a gas-by-gas basis and in units of mass, estimates on the following greenhouse gases: perfluorocarbons (PFCs), hydrofluorocarbons (HFCs) and sulphur hexafluoride (SF₆).
19. Non-Annex I Parties shall, to the extent possible, and if disaggregated data are available, report emissions from international aviation and marine bunker fuels separately in their inventories. Emission estimates from these sources should not be included in the national totals.
20. [Non-Annex I Parties [should] [wishing to] report on aggregated GHG emissions and removals expressed in CO₂ equivalents using the global warming potentials (GWPs) provided by the IPCC in its Second Assessment Report (.the 1995 IPCC GWP Values.) based on the effects of GHGs over a 100-year time horizon.]
21. Non-Annex I Parties that provide inventory data shall provide updated information on methodologies used in the estimation of anthropogenic emissions by sources and removals by sinks of GHGs not controlled by the Montreal Protocol, including on the sources of emission factors and activity data. [Where previously reported data has been recalculated, non-Annex I Parties should describe the reasons for the recalculation, the manner in which the recalculations have been undertaken and the effect in terms of emissions/removals reported.]
22. Non-Annex I Parties [should][are encouraged to] include in their biennial update reports the inventory sectoral tables and worksheets of the IPCC, in electronic format.
23. Non-Annex I Parties are encouraged to provide updated information on the level of uncertainty associated with inventory data and their underlying assumptions, and to describe the methodologies used, if any, for estimating these uncertainties.

III. Mitigation actions [supported by developed country Parties]

Option 1

24. Non-Annex I Parties shall provide up-to-date information on actions to mitigate climate change, by addressing anthropogenic emission by sources and removals by sinks of all GHGs not controlled by the Montreal Protocol.
25. For each mitigation action or suite of mitigation actions both supported and unsupported, including those actions contained in document FCCC/AWGLCA/2011/INF.1 non-Annex I Parties are encouraged to provide the following as per respective capabilities and capacities.
- (a) Name and description of the mitigation action, including up-to-date information on the nature of the action, [base year] [start date and time frame], coverage (i.e. sectors and gases), quantitative goals and progress indicators;
 - (b) Objectives of the policy or measure;
 - (c) Up-to-date information on the progress of implementation, and the results achieved, such as estimated outcomes (metrics depending on type of action) and estimated emissions reductions, to the extent possible. Highlight whether the policy or measure is in the planning stage or is adopted or whether it is under implementation;
 - (d) Information on their projected emissions and removals for the sectors reported in their GHG inventory, in accordance with their capacities and respective capabilities;

- (e) [Supplementary information on incremental costs, related public or private investments, and expected benefits other than mitigation for each action or a group of actions];
- (f) Parties participating in bilateral and multilateral offset programmes should provide up-to-date information on offset programme elements including offset type, coverage, rules, including provisions for additionality, transparency, permanence and for prevention of double counting and leakage.
- (g) Up-to-date information on methodologies and assumptions (specific to the mitigation action, including where relevant, methods for determining the baseline used, business-as-usual information or according to national or other metrics).

IV. Information on Domestic Measurement, Reporting and Verification

26. Each non-Annex I Party shall, as appropriate and to the extent possible, provide its updated information on the implementation and progress of domestic measurement reporting and verification

V. Finance, technology and capacity-building needs and support received

27. Non-Annex I Parties [shall] [should] also provide up-to-date information on financial resources, technology transfer, capacity-building, and technical support received from the Global Environment Facility (GEF), Annex II Parties, any other Parties, or bilateral and multilateral institutions, for activities relating to climate change and related financial, technical and capacity building needs, including for the preparation of the current biennial update report. The information should be based on the most recent information available and should cover two more recent years since the submission of the last report.

28. Non-Annex I Parties are encouraged to provide, to the extent their capacities permit, a list of actions proposed for financing (support needs), in accordance with Article 12, paragraph 4, of the Convention, in preparation for arranging the provision of technical and financial support. For Parties using the registry, information on mitigation actions, should aim to be consistent with information provided in the Registry.

29. With regard to the development and transfer of technology, non-Annex I Parties [shall] [should] provide information on country-specific technology needs and technology support received, that is support received for activities to promote, facilitate or enhance the development, transfer and diffusion of climate technologies; this information shall at least include the donor country or organization, the amount of the financial support received, the description of the activity or initiative, and the type of technology transferred, including on how this assistance has been utilized in support of the development and enhancement of endogenous capacities, technologies and know-how.

VI. Submission

30. The information provided in accordance with these guidelines shall be communicated by each non-Annex I Party to the COP in a single document, in electronic format.

31. Non-Annex I Party should submit its biennial update report in English.

32. Additional or supporting information may be supplied through other documents, such as a technical annex.

VII. [Updating the guidelines

33. These guidelines shall be reviewed and revised, as appropriate, in accordance with decisions of the COP.]

**Japan's comments on non-paper by the co-facilitator,
"Possible elements of draft decision to be included in the Registry"**

Japan is of the view that this non-paper prepared by the co-facilitators is a good basis for Parties to advance their discussion in Durban on registry. In this sense, Japan would like to highlight a few general comments on this document as follows;

1. Japan supports the concept that the registry will be developed as a dynamic, user-friendly web-based searchable platform, which both developing and developed countries can access for recording NAMAs seeking support and support available for NAMAs, on voluntary basis. Since its function is for recording and facilitation through providing information on actions to be taken by developing countries, as well as various kinds of support including finance, technology, and capacity-building, from various sources, it is suggested that the website should be located in and maintained by the UNFCCC Secretariat. For this reason, Japan does not support the idea that registry should be a part of the financial mechanism.
2. Regarding information inputs from developing countries, it may contain basic elements of NAMAs seeking support, such as description of the mitigation action, estimate of the emission reductions resulting from implementation of the action, and kinds of needs for support etc. Information inputs from developed countries may also contain basic elements of support programmes. Given the fact that specific strategies for design and implementation of activities under NAMAs and those of supports should be elaborated and structured in later stages according to their respective domestic or scheme procedures, it is important that information should be described in a useful and concise manner as a primary source. It is also important to ensure that information inputs and flow both from developing and developed countries should be in a manageable size for platform operation.
3. Lastly, Japan believes it is important that the discussion on the registry should be conducted in a balanced manner with the progress of other elements of discussion on NAMAs by developing countries. It is our hope that the parties will exchange their views in Durban, taking into account of technical and practical aspects related to the registry.

NEW ZEALAND SUBMISSION

AWG-LCA – Nationally Appropriate Mitigation Actions and Transparency Provisions

October 2011

This submission responds to the invitation to Parties to submit their views on the in-session material reflecting the work undertaken by the Ad Hoc Working Group on Long-term Cooperative Action under the Convention at the third part of its fourteenth session (AWG-LCA 14.3).

New Zealand views mitigation and the transparency provisions as central to a successful outcome in Durban at COP 17. To that end we submit the following inputs:

Mitigation

1 New Zealand recognises there are a number of ways countries could increase their level of ambition, including through the means outlined in the co-facilitator's summary of discussion on matters relating to paragraphs 36-38 of the Cancun Agreements⁸. However, we believe that ambition by individual countries cannot be independent of what others are doing, and therefore it will evolve over time. A foundation for increased ambition is transparency of actions and their effects, thus the most valuable contribution we can make at this time is to increase the transparency of countries' actions and begin regular reporting of greenhouse gas emissions by all countries, in particular major emitters. This will demonstrate the aggregate level of action and promote confidence that all countries are doing their fair share.

2 While it is New Zealand's preference to see a future comprehensive multilateral agreement emerge quickly, we also acknowledge that there is likely to be a transitional period until we reach that agreement. During this transition period we need to maximise transparency of mitigation action, while providing Parties with the flexibility to undertake diverse actions that reflect their national circumstances.

3 With regard to pledges already on the table, developed countries should identify which accounting rules are to be applied, and which market mechanisms are being employed. While recognising the diversity of mitigation actions by developing countries, there is still a need to better understand assumptions and to estimate the expected aggregate emissions reduction outcome.

4 A structured approach would be useful to help clarify both developed and developing country targets and actions included in the INF documents (annexed to decision 1.CP/16). This approach should take account of the diversity of national circumstances and actions and enable both flexibility and the identification of commonality. We see this as being useful to advance the negotiations, and to provide certainty to carbon markets (and the public) about ongoing mitigation action.

⁸ http://unfccc.int/files/meetings/ad_hoc_working_groups/lca/application/pdf/co-facilitators_summary_14_oct_for_web.pdf

5 We also propose a complementary exercise of establishing a work programme to define and develop an accounting framework, including the use of market mechanisms. Such an accounting framework would need to accommodate national circumstances. This work programme would examine how much of the accounting framework is “common”, the degree of flexibility taking into account national circumstances, and how it would provide environmental integrity and transparency at the country level. COP 17 should agree to the work programme and invite submissions from Parties to allow the work to begin early in 2012. The work programme should aim to complete its task by COP 18.

Transparency

Reporting

6 New Zealand recognises a sense of urgency (which is shared by many other Parties) for COP 17 to agree guidelines on both biennial update reports from developing country Parties and biennial reports from developed country Parties. To that end, in August 2011, New Zealand submitted draft guidelines for biennial update reports from developing country Parties.

7 To help facilitate a decision, we include in this submission draft decision text on biennial (update) report guidelines for both developed and developing countries. These decisions include crucial elements for Parties to consider, including: confirming the first submission date and frequency of reporting; potential flexibilities according to national circumstances; how recent the data reported needs to be; and an agreed date for reviewing the guidelines.

8 We have also resubmitted proposed templates for biennial update reports from developing countries, as we believe reporting in tabular format will help to streamline the reports. Given that reporting by developed countries is more mature than for developing countries, the use of templates or tabular formats is already included in national communications and national inventory reports. Further use of templates should also be applied to biennial reports from developed countries.

9 As per New Zealand’s previous submission we believe that biennial update reports should be submitted in English. This is because executive summaries of non-Annex I Parties’ national communications are submitted in English. Given that the biennial update report is expected to be short and succinct (similar to an executive summary) with much of the information presented in tabular format, English should be the language of submission for biennial update reports.

10 We note with caution the attempt to pre-empt decisions by Parties on legal form and accounting through these reporting guidelines. Accounting is different from reporting, and requires separate consideration. We support the use of the approach in paragraph 7 of the draft guidelines for biennial reports from developed countries⁹, in which reporting relative to the target would be done according to an agreed accounting framework, which should be adopted at COP 18. We suggest a process to clarify pledges together with a work programme to agree an accounting framework by COP 18.

11 In agreeing the guidelines in section VI, Parties should ensure that the resulting guidance for reporting on the provision of support is practicable. For example distinguishing between mitigation, adaptation and ‘other activities’, as proposed in paragraph 27, may sound simple in theory, but in practice, support could deliver benefits to mitigation as well as other co-benefits. We believe reporting on the provision of support would be best done using a tabular format.

⁹ http://unfccc.int/files/meetings/ad_hoc_working_groups/lca/application/pdf/non-paper_3.2.1_v8_for_web2.pdf

12 New Zealand recognises that reporting biennially is a step change from the present system and that many developing countries could benefit from increased support to help facilitate this change. All developing countries need to report (with flexibility for LDCs and SIDS) and New Zealand supports the early mobilisation of funding and decisions to bring this about.

Analysis and review

13 New Zealand would like to reinforce the importance of analysis and review processes to promote confidence in the mitigation actions and reporting by all countries.

14 We note that the co-facilitators' non-paper on international assessment and review (IAR) has several references to compliance. While important, compliance is related to the legal form of an agreement, and therefore is not an issue to be determined through IAR. New Zealand does not see a role for compliance in the IAR process.

15 The **scope of IAR** is clearly articulated in decision 1.CP/16. Paragraphs 44 and 46(d) define the scope of IAR as being an assessment and review of:

“emissions and removals related to quantified economy-wide emission reduction targets ... including the role of land use, land-use change and forestry, and carbon credits from market-based mechanisms”

This does not include the provision of support to developing countries, nor does it include any reference to a “supplementary review” process. As such, New Zealand requests that all sections relating to these issues be bracketed in the revised version of the co-facilitators' text.

16 In paragraphs 63 and 64 of 1.CP/16, Parties decided that all developing countries would produce biennial update reports, and that international consultations and analysis (ICA) of these reports would be conducted. Therefore, ICA is not a voluntary process.

17 Likewise, decision 1.CP/16 (in paragraphs 63 and 64) is clear about the **scope of the ICA process**, as being:

“biennial reports... 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;”

New Zealand reiterates that information on domestic measurement, reporting and verification is included in the scope of ICA, and hence agree that reporting on domestic measurement, reporting and verification should be included in biennial update reports.

18 The overriding **aim of the ICA process** is provided in paragraph 63 of decision 1.CP/16, that is: “to increase transparency of mitigation actions and their effects”. Therefore New Zealand requests that paragraph 3 of the co-facilitators' text should be up front, the first objective listed in section I: Objectives of ICA.

19 The **process of ICA** is also made clear in decision 1.CP/16, that ICA will achieve its goals “through analysis by technical experts in consultation with the Party concerned and through a facilitative sharing of views”. New Zealand's view is that the order of procedure is made clear in this text: technical expert analysis, followed by a facilitative sharing of views.

Draft Decision Text

Guidelines for the preparation of biennial reports from Parties included in Annex I to the Convention

The Conference of the Parties,

Recalling, the relevant provisions of the United Nations Framework Convention on Climate Change, in particular, [Article 4, paragraph 2 (a), (b) and (c), Article 5, Article 7, paragraph 2 (a), (b), (d) and (e), Article 10, paragraph 2 (a) and (b), and Article 12] [Articles 4, 5, 7, 10 and 12],

Recalling also its decision 1/CP.16 that Parties included in Annex I to the Convention (Annex I Parties) shall submit their national communications to the Conference of the Parties, in accordance with Article 12, paragraph 1, of the Convention, every four years,

Recognising that, by decision 1/CP.16, Parties had initiated a process of developing the guidelines for the preparation of biennial reports from Annex I Parties,

Noting decision 1/CP.16 to conduct international assessment and review of biennial reports submitted by Annex I Parties under the Subsidiary Body for Implementation,

Emphasizing that information submitted by Annex I Parties under Article 12 of the Convention is the main source of information for reviewing the implementation of the Convention by these Parties,

Noting that delays in or absence of submissions from some Parties will hinder the assessment of implementation, as well as delays in completion of international assessment and review,

Recognizing the important contribution enhanced reporting, including biennial reports from Annex I Parties, has in the review of the global goal agreed by Parties in decision 1/CP.16,

1. *Adopts* the guidelines contained in the annex to this decision for the preparation of biennial reports by Annex I Parties: UNFCCC reporting guidelines on biennial reports (hereafter referred to as ‘the Guidelines’);

2. *Decides*:

- (a) That Annex I Parties should use the Guidelines for the preparation of biennial update reports;
- (b) That, in using the Guidelines, Annex I Parties should take into account their national circumstances;
- (c) That the first biennial update report from Annex I Parties shall update the sections of the most recent full national communication submission, as outlined in the Guidelines;
- (d) That Annex I Parties shall submit a full national communication every four years, the next due date after this decision being 1 January 2014;
- (e) That Annex I Parties shall submit their first biennial report to the Secretariat by 30 April 2013, and the second and subsequent biennial reports shall be submitted within two years of the due date of a full national communication (i.e. 2016, 2020);
- (f) That the sections of biennial reports submitted by an Annex I Party that are subject to international assessment and review are sections II, III, IV and V¹⁰;

¹⁰ This is based on the current sections of the co-facilitators’ non-paper on possible elements of a draft decision for adoption of the guidelines for biennial reports of developed country Parties, version of 14 October 2011, and means all sections other than the provision of financial support, which is outside the scope of IAR.

(h) That the full annual greenhouse gas inventory submission is outside the scope of the international assessment and review process;

(i) That the Guidelines shall be reviewed, and revised guidelines adopted by [2016], taking into consideration the principles of transparency, consistency, comparability, completeness and accuracy of the reported national greenhouse gas inventories, experience with the first round of biennial update reports, and other information including incorporation [as appropriate] of the 2006 IPCC Guidelines for National Greenhouse Gas Inventories,

3. *Requests* the secretariat to prepare a compilation and synthesis of the information reported by Annex I Parties in the biennial update reports referred to in paragraph 2(d) above, to be available for the COP at its [20th] session.

Draft Decision Text

Guidelines for the preparation of biennial update reports from Parties not included in Annex I to the Convention

The Conference of the Parties,

Recalling, the relevant provisions of the United Nations Framework Convention on Climate Change, in particular, Article 4, paragraphs 1, 3 and 7, Article 5, Article 7, paragraph 2 (a), (b), (d) and (e), Article 9, paragraph 2 (b), Article 10.2, Article 12, paragraphs 1, 5, 6 and 7, of the Convention,

Recalling also its decision 1/CP.16 that Parties not included in Annex I to the Convention (non-Annex I Parties) shall submit their national communications to the Conference of the Parties, in accordance with Article 12, paragraph 1, of the Convention, every four years,

Conscious of its decision to provide additional flexibility for the least developed country Parties and small island developing States in their reporting requirements,

Recognising that, by its decision 1/CP.16, it had initiated a work programme for developing the guidelines for the preparation of biennial update reports from non-Annex I Parties,

Noting decision 1/CP.16 to conduct international consultations and analysis of biennial update reports submitted by non-Annex I Parties under the Subsidiary Body for Implementation,

Recognizing the important contribution that enhanced reporting, including biennial update reports from non-Annex I Parties, has in the review of the global goal,

Emphasizing that information submitted by non-Annex I Parties under Article 12 of the Convention is the main source of information for reviewing the implementation of the Convention by these Parties;

Noting that delays in or absence of submissions from some Parties hinder the assessment of implementation, as well as delays in completion of international consultations and analysis,

1. *Adopts* the guidelines contained in the annex to this decision for the preparation of biennial update reports by non-Annex I Parties: UNFCCC reporting guidelines on biennial update reports (hereafter referred to as ‘the Guidelines’);

2. *Decides*:

(a) That non-Annex I Parties should use the Guidelines for the preparation of biennial update reports;

(b) That, in using the Guidelines, non-Annex I Parties should take into account their development priorities, objectives and national circumstances;

(c) That the Guidelines should be used to provide guidance to an operating entity of the financial mechanism for funding the preparation of biennial update reports from non-Annex I Parties;

(e) That as outlined in the Guidelines, the biennial update report from each non-Annex I Party shall update the information contained in the sections of its most recent full national communication submission, and that the greenhouse gas inventory information contained in the biennial update report will be for the year [N-3], where N denotes the year of submission;

(f) That each non-Annex I Party that has already submitted an initial national communication or a subsequent national communication shall submit its first biennial update report to the Secretariat by [date] [April][month] [2013][2014];

(g) That, where an initial national communication has not yet been submitted by a non-Annex I Party, the first biennial update report shall contain the information required by the Guidelines to the extent possible, and will be submitted to the Secretariat by [date] [April][month] [2013][2014];

(h) That a full national communication shall be submitted every four years, the first due date following this decision being [date] [April][month] [2015][2016];

(i) That the submissions of second and subsequent biennial update reports by non-Annex I Parties shall be made within two years of the due date of a full national communication;

(k) That all sections included in the Guidelines will be subject to international consultations and analysis;

(l) That the Guidelines for non-Annex I Parties shall be reviewed, and revised guidelines adopted by [2016], taking into consideration the principles of transparency, consistency, comparability, completeness and accuracy of the reported national greenhouse gas inventories, experience with the first round of biennial update reports, and other information including incorporation [as appropriate] of the 2006 IPCC Guidelines for National Greenhouse Gas Inventories,

3. *Urges* those non-Annex I Parties that have not submitted their first, second or third national communication, to do so as soon as possible;

4. *Requests* the secretariat to facilitate assistance to non-Annex I Parties in the preparation of their biennial update reports, in accordance with Article 8, paragraph 2 (c), of the Convention, and to prepare reports thereon for consideration by the Subsidiary Body for Implementation;

5. *Requests* the secretariat to prepare a compilation and synthesis of the information reported by non-Annex I Parties in the biennial update reports referred to in paragraph 1(f) above, to be available for the COP at its [20th] session.

Annex to biennial update report guidelines

The templates in this annex are provided to assist non-Annex I Parties with the compilation and submission of their biennial update reports.

Template 1: Submission information

Year
Submission
Country

Country	
Inventory Years	
Contact Name	
Title	
Organization	
Address	
Phone	
Fax	
E-mail	
URL	

Additional information

Status	
Submission	
Comments	

Template 2: Outline of biennial update report

National greenhouse gas inventory		Notes
	Summary report	Emission/removal summary by sector and by gas using standard reporting table
	Sectoral table for Energy	Summary of each sector using standard reporting tables
	Sectoral table for Industrial Processes	
	Sectoral table for Solvent and Other Product Use	
	Sectoral table for Agriculture	
	Sectoral table for Land-Use Change and Forestry	
	Sectoral table for Waste	
	Key category analysis	Parties should identify their national key categories for the latest reported inventory year, using the IPCC tier 1 level assessment.
	Methodologies used	Choice of methods/activity data/emission factors, assumptions, parameters and conventions underlying the emission and removal estimates – the rationale for their selection, any specific methodological issues
	Recalculations and improvements	Any changes in estimates of emissions and removals, compared with previously submitted inventories, regardless of magnitude. Clearly indicate the reason for the changes using the template provided. Parties should also describe planned improvements to methodologies, activity data, emission factors, etc. (optional)
	Procedures and arrangements for the national greenhouse gas inventory	A description of the GHG inventory procedures and arrangements, using the template provided
	Uncertainties	Encouraged to provide information on uncertainties using IPCC good practice guidance as basis
Mitigation actions and their effects		
	Description of the action	Using the template provided, for each action or suite of actions, a description, including the nature of the action, base year, coverage (i.e. sectors and gases,)

		quantitative goals and progress indicators
	Progress of implementation	Using the template provided, for each action or suite of actions information on the progress of implementation, and the results so far: such as estimated outcomes (metrics depending on type of action) and estimated emission reductions
	Methodologies and assumptions	Using the template provided, for each action or suite of actions information on methodologies and assumptions specific to the mitigation action, including where relevant, methods for determining the baseline used, business-as-usual information or other metrics
	Use of international or domestic offsets	Using the template provided, report on the use of international or domestic emission reduction credits or allowances. Information also to be provided on any rules/documentation/verification of such units
Domestic MRV		An up-to-date description of system of domestic measurement, reporting and verification using the template provided
Support received		Summary level information using the template provided
Other information		

Template 3: National inventory procedures and arrangements

Entity submitting the inventory to the UNFCCC secretariat	
Entity/entities completing the national inventory report	
Entity coordinating work between the core institutions	
Entity approving the inventory before the official submission to the UNFCCC secretariat	
Entity/entities maintaining the underlying emission models	
Entity/entities collecting the relevant basic data	
Entity/entities collecting point source data	
Entity/entities compiling the reporting tables	
Entity implementing and coordinating the quality assurance/quality control (QA/QC) plan	
Entity/entities ensuring that the different underlying methodologies are based on sound and updated scientific knowledge	

Template 4: Reporting of recalculations

Sector	Gas	Previous year (xxxx)	This report (yyyy)	Difference (absolute)	Difference (percentage)	Impact on total emissions (including LULUCF)	Impact on total emissions (excluding LULUCF)	Reason for recalculation (e.g. change in emission factor(s), methodology, activity data, other)

Template 5: Summary report of mitigation actions

Template 5.1: Report table of update/change in policy framework⁽¹⁾

Title	Description

1. Development plan, climate change policy, change in regime, etc.

Template 5.2: Report table of mitigation actions

Description of Mitigation Action	Base year	Coverage		Implementing Entities	Quantitative goal	Progress indicators	Progress to date	Estimated outcomes/ Emissions reductions	Methodologies and assumptions
		Sector ¹	gas						

1. IPCC sector (Energy, Industrial processes, Solvent and Other Product Use, Agriculture, LULUCF, Waste)

Template 6: Use of Offsets

Units sold (type of unit)	Tonnes of CO ₂ -equivalent	Information on rules/documentation/verification
Units purchased (type of unit)		
Total		

Template 7: General description of domestic systems for MRV

Component of MRV system ^{1, 2}	Methodologies applied/rationale for approach taken

1. Includes any updates since last submission
2. For example: entities responsible of MRV of mitigation actions; description of data collection system including models used for projections; selection of performance indicators; QA/QC system; third party verification; process for reporting.

Template 8: Support received

Project/activity	Supported by ¹	Type of support ²	Timescale		Total funding		Proportion of costs from various sources of funding	Mitigation and/or other results achieved	Relationship to the needs identified in the LCDS
			Start	Finish	Local currency	USD			

1. GEF; Annex II Party; other Party; bilateral institution or fund; multilateral institution or fund
2. Finance, technology transfer, capacity building, other

AD HOC WORKING GROUP ON LONG-TERM COOPERATIVE ACTION UNDER THE CONVENTION

Fourteenth session (third part)

Panama City, 1-7 October 2011

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 text¹¹ 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 p[rogress 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 CO₂eq 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.

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

¹¹ The following section will need to be further developed taking into account these considerations.

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.

AD HOC WORKING GROUP ON LONG-TERM COOPERATIVE ACTION UNDER THE CONVENTION

Fourteenth session (third part)
Panama City, 1–7 October 2011

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 for adoption of guidelines for biennial update reports from Parties not included in Annex I to the Convention]

1. Recall relevant decisions;
2. Recognize the need for enhanced support;
3. Invitation to the GEF and to Annex II and other Parties for provision of support for preparation of biennial update reports;
4. Frequency of submission of biennial update reports;
5. Flexibility in reporting;
6. Date of submission of the first biennial update reports.

[Non-Annex I Parties should submit either their first biennial reports or their next national communication by 01.01.2014. The content of the biennial report as described in these guidelines shall be integrated¹² into the national communication.]

7. [Decision to revise the guidelines to reflect the experience with reporting and review including with the use of the standard electronic formats and tables no later than [...]]

Possible elements of draft guidelines for biennial update reports from Parties not included in Annex I to the Convention¹³

I. Introduction

1. Parties not included in Annex I to the Convention (non-Annex I Parties) shall submit reports on biennial basis [as a component of their national communication and in biennial update reports.] Least Developed Countries (LDCs) and Small Island Developing States (SIDS) may submit biennial update reports at their discretion. [In years in which a submission of a national communication is due, the content of the biennial report as described in these guidelines shall be integrated as a separate section into the national communication.]

[2. Non-Annex I Parties will implement these guidelines consistent with their capabilities and the level of support provided.] [Note: The link to the support and flexibility with regard to capabilities should be addressed in a general way in the decision text to which these guidelines will be attached. In addition specific provisions may indicate flexibility with regard to capabilities, but this introductory paragraph is not in line with the legal drafting of reporting guidelines in past decisions]

A. Objectives

¹² The future structure and content of the national communication shall be discussed under the revision of the guidelines for non-Annex I national communications. In the future the national communication submission should consist of two parts: Part 1 covering information reported in biennial reports along the guidelines for biennial reports and Part 2 covering additional information on items reported in the biennial report as well as information on other issues as reported currently in the national communication such as national circumstances, vulnerability assessment etc..

¹³ The possible elements of draft guidelines for biennial update reports from developing country Parties presented here are broadly based on the relevant sections of the guidelines for the preparation of national communications from Parties not included in Annex I to the Convention as contained in the annex to decision 17/CP.8. The mandatory language of this decision has been retained here.

3. The objectives of the guidelines for the preparation of the biennial update reports from non-Annex I Parties are:

(a) To assist non-Annex I Parties in meeting their reporting requirements under Articles 4, paragraph 1[(a)] and 12 of the Convention and decision 1/CP.16;

(b) [To encourage the presentation of information in a consistent, transparent, comparable¹⁴, complete, accurate, timely and flexible manner, taking into account specific national [and sectoral] circumstances];

(c) [To facilitate provision of **transparent and consistent** information on mitigation actions and their effects.]

(d) To facilitate the presentation of information on finance, technology and [the] capacity building support **needs** [required] [and received] **and support provided** for the preparation of biennial update reports;

(e) [To serve as policy guidance to the operating entity of the financial mechanism for the timely provision of financial support needed by developing country Parties in order to meet the agreed full costs of complying with their obligations under Article 12, paragraph 1];

(f) To enable enhanced reporting by non-Annex I Parties in accordance with their capacities and respective capabilities, and the availability of support;

(g) To ensure that the Conference of the Parties (COP) has sufficient information to carry out its responsibility of assessing the implementation of the Convention by Parties.

[(h) To ensure that the Conference of the Parties (COP) has sufficient information to carry out the 2013-2015 and subsequent periodic reviews.]

(i) [To facilitate the international consultations and analysis of biennial reports under the Subsidiary Body for Implementation.]

B. Scope

4. The scope of biennial update reports is to provide [an update to the most recently submitted national communication] **information** in the following areas:

(a) The national inventory of anthropogenic emissions by sources and removals by sinks of all greenhouse gases (GHGs) not controlled by the Montreal Protocol, including a national inventory report;

(b) [Information on mitigation actions and their effects] **[including a description, analysis of the impacts and associated methodologies and assumptions, progress in implementation and information on domestic measurement, reporting and verification];**

(c) [Information on methodologies and assumptions];

(d) A description of support needed and received **and provided, as applicable;**

(e) [Information on the level of support received to enable the preparation and submission of biennial update reports];

(f) [Information on domestic measurement reporting and verification];

(g) [Any other information that the non-Annex I Party considers relevant to the achievement of the objective of the Convention and suitable for inclusion in its biennial update report.]

II. National greenhouse gas inventory

[A. Principles

X. In the context of the preparation of the national GHG inventory:

¹⁴ The use of term .comparable. is consistent with paragraph 1(b) of the annex to the decision 17/CP.8

- (a) Transparency means that the assumptions and methodologies used for an inventory should be clearly explained to facilitate replication and assessment of the inventory by users of the reported information.
- (b) Consistency means that an inventory should be internally consistent in all its elements with inventories of other years. An inventory is consistent if the same methodologies are used for the initial and all subsequent years and if consistent data sets are used to estimate emissions or removals from sources or sinks. Under certain circumstances an inventory using different methodologies for different years can be considered to be consistent if methodologies provided by the IPCC for such situations have been applied.
- (c) Comparability means that estimates of emissions and removals reported by Non-Annex I Parties in inventories should be comparable among Non-Annex I Parties. For this purpose, Non-Annex I Parties should use the methodologies and formats agreed by the COP for estimating and reporting inventories.
- (d) Completeness means that an inventory covers all relevant sources and sinks, as well as all gases, included in the IPCC Guidelines. Completeness also means full geographic coverage of sources and sinks of a Non-Annex I Party.
- (e) Accuracy is a relative measure of the exactness of an emission or removal estimate. Estimates should be accurate in the sense that they are systematically neither over nor under true emissions or removals, as far as can be judged, and that uncertainties are reduced as far as practicable. Appropriate methodologies should be used, in accordance with the IPCC good practice guidance, to promote accuracy in inventories.

5. Each non-Annex I Party shall, in accordance with Article 4, paragraph 1(a), and Article 12, paragraph 1(a), of the Convention, communicate to the COP an updated national inventory of anthropogenic emissions by sources and removals by sinks of all GHGs not controlled by the Montreal Protocol, to the extent [of the provision of funds from developed country Parties], [and] its capacities permit, following the provisions in these guidelines.

6. Each non-Annex I Party [shall] [should] submit inventory data for the year [according to the provision of funds] [2010] [N-X]¹⁵ [N-3] [not more than Y years from the date of last submission] [shall provide a consistent time series back to the first biennial report, and is encouraged to provide a consistent time series back to reported years in the previous national communications]. LDCs and SIDS [should] [may] estimate their national GHG inventories for recent years at their discretion. [Developing country Parties whose share of global emissions is less than 1% may also estimate their national GHG inventories for recent years at their discretion].

7. Non-Annex I Parties should submit summary information tables of previously reported inventory or inventories (for example for years 1994 and 2000).

8. The inventory submission [shall][should] consist of [electronic reporting tables, as included in the Annex to these guidelines, and] a national inventory report (NIR).

A. Methodologies [Enabling environment to implement methodologies]

9. Non-Annex I Parties should use the IPCC Guidelines [approved by the COP] for estimating and reporting their updated national GHG inventories. Parties may also continue to use UNFCCC NAI Greenhouse Gas Inventory Software to calculate and report emissions and removals, and report key category analysis.

10. In accordance with the IPCC Guidelines and depending on their capacity, Parties may use different methods (tiers) included in the IPCC Guidelines to estimate their emissions, giving priority to those methods which are believed to produce the most accurate estimates, depending on national circumstances and the availability of data.

11. The IPCC Guidelines offer a default methodology which includes default emission factors and in some cases default activity data. As these default factors, data and assumptions may not always be appropriate for specific national circumstances, non-Annex I Parties, as encouraged by the IPCC Guidelines, [are encouraged to] [can also] use national methodologies and regional emission factors and activity data for key sources, where they consider these to be

¹⁵ N-X denotes that data would be submitted for [x] years prior to the date of submission. For example, if biennial update reports were submitted in 2013, the data would be for 2011, in case of to N-2

better able to reflect their national situations, provided that these methodologies are more accurate than the default data and are documented transparently.

12. Non-Annex I Parties are encouraged to [use] [apply] the IPCC good practice guidance [and IPCC good practice guidance for LULUCF], taking into account the need to improve transparency, consistency, comparability, completeness and accuracy in inventories.

13. Non-Annex I Parties [shall] [are also encouraged, to the extent possible, to] undertake [any] key category analysis [as indicated in the IPCC good practice guidance] to assist in developing inventories that better reflect their national circumstances. [Key categories are those that, when summed together in descending order of magnitude, add up to 70 percent of the total level of GHG emissions. As Parties' reporting improves over time, Parties should assume as key categories those whose sum, in descending order of magnitude, adds up to 90 percent of the total level of GHG emissions].

14. [Non-Annex I Parties [should] [shall] include a national inventory report with information on the compilation of the inventory, including information on: institutional arrangements; analysis of key categories; [interpretation of trends by sector and most significant key category;] methodologies, assumptions, emission factors and activity data used; level of uncertainty; [changes from previous years]; quality assurance/quality control; and identification of areas of improvement noting that accuracy will improve over time]

15. [Non-annex I Parties [are encouraged to] [may] use the [2006] IPCC Guidelines [in particular in areas in which 2006 IPCC Guidelines provide improved methodologies and parameters for circumstances in developing countries] [at their discretion.]

B. Reporting¹⁶ [Enabling environment for preparation of reporting]

16. Non-Annex I Parties [should][are encouraged to] describe updates to procedures and arrangements undertaken to collect and archive data for the preparation of national GHG inventories, as well as efforts to make this a continuous process, including information on the role of the institutions involved.

17. Each non-Annex I Party shall [], as appropriate and to the extent possible, [] provide in its updated national inventory, on a gas-by-gas basis and in units of mass, estimates of anthropogenic emissions of carbon dioxide (CO₂), methane (CH₄) and nitrous oxide (N₂O) by sources and removals by sinks.

18. Each non-Annex I Party, depending on its capacity and the significance¹⁷ of a gas is encouraged to also provide in its national inventory, on a gas-by-gas basis and in units of mass, estimates on the following greenhouse gases: perfluorocarbons (PFCs), hydrofluorocarbons (HFCs), [nitrogen trifluoride [NF₃]] and sulphur hexafluoride (SF₆).

19. [Non-Annex I Parties should, to the extent possible, and if disaggregated data are available, report emissions from international aviation and marine bunker fuels separately in their inventories. Emission estimates from these sources should not be included in the national totals].

20. [Non-Annex I Parties [should] [wishing to] report on aggregated GHG emissions and removals expressed in CO₂ equivalents using the global warming potentials (GWPs) provided by the IPCC in its [Second] [Fourth] Assessment Report ("the 1995 IPCC GWP Values") based on the effects of GHGs over a 100-year time horizon.]

21. Non-Annex I Parties [should][are encouraged to] provide updated information on methodologies used in the estimation of anthropogenic emissions by sources and removals by sinks of GHGs not controlled by the Montreal Protocol, including on the sources of emission factors and activity data. [Where previously reported data has been recalculated, non-Annex I Parties should describe the reasons for the recalculation, the manner in which the recalculations have been undertaken and the effect in terms of emissions/removals reported.]

22. Non-Annex I Parties [should][are encouraged to] include in their biennial update reports the [] inventory sectoral [] tables [annexed to these guidelines] [and worksheets of the IPCC], in electronic format.

¹⁶ Some Parties have suggested that providing information in tabular formats may assist with streamlining reporting of biennial update reports.

¹⁷ Definition of this term needs to be further elaborated .

23. Non-Annex I Parties are encouraged to provide updated information on the level of uncertainty associated with inventory data and their underlying assumptions, and to describe the methodologies used, if any, for estimating these uncertainties.

III. Mitigation actions [supported by developed country Parties]

Option 1

24. Non-Annex I Parties [shall][are encouraged to] provide up-to-date information on actions to mitigate climate change, by **reducing** addressing anthropogenic emissions by sources and **by enhancing** removals by sinks of all GHGs not controlled by the Montreal Protocol.

25. For each mitigation action or suite of mitigation actions [supported by developed countries and voluntarily reported for unsupported actions] [both supported and unsupported], [including those actions contained in document FCCC/AWGLCA/2011/INF.1] non-Annex I Parties [are encouraged to] **shall** provide the following **information** [to the extent possible][as per respective capabilities and capacities].

(a) Name and description of the mitigation action, including up-to-date information on the nature of the action **[(e.g., economic, fiscal, voluntary, regulatory etc.)]**, [base year] [start date and time frame], coverage (i.e. sectors and gases), quantitative goals and progress indicators,;

(b) Objectives of the policy or measure;

(c) Up-to-date information on the progress of implementation, and the results achieved, such as estimated outcomes (metrics depending on type of action) **[(eg, deviation from emission reference levels or deviation for projected emission levels in target year or period)]** and estimated emissions reductions, to the extent possible. Highlight whether the policy or measure is in the planning stage or is adopted or whether it is under implementation;

[(c)bis description of the MRV arrangements/guidance applied at national level to implement mitigation actions (e.g., institutional arrangements, implementing entities, data collection methods, progress indicators)]

(d) Information on their projected emissions and removals for the sectors reported in their GHG inventory, in accordance with their capacities and respective capabilities;

(e) [Supplementary information on incremental costs, related public or private investments, and expected benefits other than mitigation for each action or a group of actions];

(f) Parties participating in **market-based mechanisms shall provide up to date information on:**

i) Total acquisitions of international [carbon][credits][offset][units] from market-based mechanisms approved at the UNFCCC level:

ii) Total transfers of international [carbon][credits][offset][units] from market-based mechanisms approved at the UNFCCC level:

iii) Total amount of international [carbon][credits][offset][units] from market-based mechanisms approved at UNFCCC level which have been retired and/or cancelled

[bilateral and multilateral offset programmes should provide up to-date information on offset programme elements including offset type, coverage, rules, including provisions for additionality, transparency, permanence and for prevention of double counting and leakage]

(g) Up-to-date information on methodologies and assumptions (specific to the mitigation action, including where relevant, methods for determining the baseline used, business-as-usual information or according to national or other metrics).

[25bis. Non-Annex I Parties shall provide information related to paragraphs 24 and 25 in electronic reporting format tables X of the Annex to these guidelines and should provide descriptive information in the report for the most recent year for which information on mitigation actions is available]. [Non-Annex I Parties using the registry for nationally appropriate mitigation actions are encouraged to report information on mitigation actions, consistent with the information provided in the registry.]

[Option 2¹⁸ (option to paragraphs 24 and 25)]

Based on national circumstances, non-Annex I Parties are encouraged to provide, to the extent their capacities allow, information on programmes and measures implemented or planned¹⁹ which contribute to mitigating climate change by addressing anthropogenic emissions by sources and removals by sinks of all GHGs not controlled by the Montreal Protocol, including, as appropriate, relevant information by key sectors on methodologies, scenarios, results, measures and institutional arrangements.]

IV. Finance, technology and capacity-building needs and support received

26. Non-Annex I Parties [shall] [should] also provide up-to-date information on financial resources, technology transfer, capacity-building, and technical support received from the Global Environment Facility (GEF), Annex II Parties, any other Parties, or bilateral and multilateral institutions, for activities relating to climate change and related financial, technical and capacity building needs, including for the preparation of the current biennial update report. The information should be based on the most recent information available and should cover two more recent years since the submission of the last report.

27. Non-Annex I Parties are encouraged to provide, to the extent their capacities permit, a list of actions proposed for financing (support needs), in accordance with Article 12, paragraph 4, of the Convention, in preparation for arranging the provision of technical and financial support. For Parties using the registry, [information on] mitigation actions [.] [included in this list] should aim to be consistent with information provided in the Registry.

28. [Non-Annex I Parties should also provide information on financial resources and technical support for the preparation of the current biennial report provided by themselves. Non-Annex I Parties are also encouraged to provide information on financial resources related to the implementation of the Convention provided through bilateral, regional and multilateral channels for other Non-Annex I Parties.]

29. With regard to the development and transfer of technology, non-Annex I Parties [shall] [should] provide information on country-specific technology needs and technology support received, that is support received for activities to promote, facilitate or enhance the development, transfer and diffusion of climate technologies[; this information shall at least include the donor country or organization, the amount of the financial support received, the description of the activity or initiative, and the type of technology transferred, including on how this assistance has been utilized in support of the development and enhancement of endogenous capacities, technologies and know-how].

[29bis. Non-Annex I Parties should provide information related to paragraphs 26 and 29 by using the electronic reporting format tables Y-Z of the Annex to these guidelines].

V. Submission

29. The information provided in accordance with these guidelines [shall] be communicated by each non-Annex I Party to the COP in a single document, in electronic format.

30. Non-Annex I Parties [shall] submit [its] [their] biennial update report[s] in [English] [any] [one of the] official UN language[s]. [Non-Annex I Parties are also encouraged to submit a translation of the biennial report into English].

[31. Additional or supporting information may be supplied through other documents, such as a technical annex.]

¹⁸ Paragraph 40 of annex to the decision 17/CP.8

¹⁹ Such as measures being considered by the government for future implementation

VI. [Updating the guidelines]

32. These guidelines shall be reviewed and revised, as appropriate, in accordance with decisions of the COP.]

VII. Annex

GHG inventories

Common reporting format tables for national GHG inventories in particular the summary tables, Table 10 and main sectoral background data tables for largest key categories.

Tables for GHG inventories

Table 2: Information on mitigation actions

Name of mitigation action and short description	Objective	Sector affected	GHG affected	Type	Status of implementation	Implementing entity	MRV arrangements	Estimated mitigation impact by year 20xx or alternative indicator	Additional voluntary information

Tables for support received

Table 3a: Support received for mitigation actions

Name of mitigation action and short description	Estimated costs (indicate time frame)	Support needed (indicate time frame)	Support received (in USD) (indicate reporting year(s))	Source of support	Support type (financial technology, capacity building)	Type of finance (e.g. grant, loan)

Table 3b: Support received and own contributions for the preparation of the current biennial report, years X and Y, in USD

	x. biennial report YEAR X	x. biennial report YEAR Y
From GEF		
From Annex I Parties		
From Annex II Parties		
Own contributions		
Other sources (please specify)		
Total		

Table 3c: General table on support received for activities relating to climate change, in USD

a

<u>Name of action/ project/ programme</u>	<u>Source of support</u>	<u>Support received (in USD)</u>	<u>Reporting Year</u>	<u>Mitigation</u>	<u>Adaptation</u>	<u>Indicate support type (financial, technology, capacity building)</u>

a Please provide information separately for the two recent years since the last biennial report.

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 @ 16.00

Non-paper by the co- facilitators

EU COMMENTS: ADDITIONS, DELETIONS, STRUCTURAL CHANGES Marked in RED

I. [Possible elements of draft decision to be included in the Registry]

1. Recall relevant decisions;

2. Recognize the need for support ~~to~~ for implementation of nationally appropriate mitigation actions;

3. The secretariat will develop a prototype of the registry, based on the guidance given by Parties including in decisions 1/CP.16 and 1/CP.17 by thirty-sixth session of the SBI to enable a pilot phase and facilitate further discussion;

4. The Subsidiary Body for Implementation at its [thirty-fifth] [thirty-sixth] session will further elaborate the modalities and functions of the registry with a view to adopting a decision at the eighteenth session of the COP.

5. (...)

Registry

1. The Conference of the Parties (COP), through its decision 1/CP.16²⁰, set up a registry to record nationally appropriate mitigation actions seeking international support and to facilitate matching of finance, technology and capacity-building support for these actions. The COP also decided to recognize mitigation actions of developing country Parties in a separate section of the registry.

2. The registry will be developed as a dynamic, user-friendly web-based searchable platform that:

a. facilitates matching of support to individual mitigation actions;

b. ~~and~~ recognizes recorded nationally appropriate mitigation actions upon request.

Option to paragraph 2 above:

[Given the matching of support function, the Registry should be part of the Financial Mechanism of the Convention and should operate under the Standing Committee on Finance.]

3. Participation in the registry, including the submission of information to the registry, will be voluntary, ~~and~~ will depend on availability of information and does not entail any commitment;

4. The registry should [will] be structured in a manner that enables the full range of diversity of nationally appropriate mitigation actions to be reflected.

²⁰ Decision 1/CP.16, paragraph 53.

I. Functions of the registry

A. Recording NAMAs seeking international support

5. One part of the registry will record regularly updated information provided by Parties on:

- (a) [Individual] nationally appropriate mitigation actions seeking international support;
- (b) Support available from developed country Parties for these actions;
- (c) Support provided for individual nationally appropriate mitigation actions.

B. Facilitate matching of actions with support

Paragraphs 10-16 should be placed here to reflect structure of Cancun agreements section IIIB

C. Recognition of NAMAs

[6. Subsequent to matching of support with actions, the registry will record both supported mitigation actions and associated support.]

7. A separate part of the registry will record the following information on [domestically funded] [domestically funded and internationally supported] mitigation actions submitted by developing country Parties to the secretariat as per paragraphs 59 (a), (b) and (c) of decision 1/CP.16 for the purpose of their recognition, upon the request by developing country Parties:

- (a) A description of the mitigation action;
- (b) Estimate cost of the mitigation action;
- (c) Estimated emission reductions outcome and other indicators;
- (d) Anticipated time-frame for implementation;
- (e) Co-benefits to local sustainable development, if information exists.

[8. Developing country Parties are also invited to communicate their mitigation actions as per paragraphs 59 (a), (b) and (c) of decision 1/CP.16 through the secretariat.][The secretariat will regularly update document FCCC/AWGLCA/2011/INF.1 on this basis.]

9. The secretariat will support implementation of the above functions of the registry.

B. Facilitate matching of actions with support *(Move this section up to after paragraph 5)*

10. The registry will facilitate matching of action with support through provision of information on nationally appropriate mitigation actions seeking support and information on support available. It will help [be able] to connect proponents of mitigation actions and potential sources of support via a simple, searchable web-based platform that lists mitigation actions seeking support as well as support available.

Option to paragraph 10 above:

[The [Green Climate Fund] [Financial Mechanism] may, in accordance with guidelines to be adopted by the COP, disburse funds for implementation of individual mitigation actions submitted to the registry. The registry will generate reports, as per information on nationally appropriate mitigation actions seeking support submitted by developing country Parties, to facilitate matching of support.]

11. [For the function of facilitating matching of support with action,] [t]The following information on action and support should be [will be] provided in agreed template form [needed]:

1. Information on action

12. Developing country Parties [will] [are invited to] submit through the secretariat the following information on individual nationally appropriate mitigation actions seeking international support, inter alia:

- (a) A description of the mitigation action;
- (b) Estimated [incremental] costs of the mitigation action;
- (c) Estimated emission [reductions] [outcome] [the mitigation result] [or other indicators of implementation] [based on the understanding that the commitment is to implement the action and not to the outcome];
- (d) The expected time frame for implementation;
- (e) Support requirements and the type of support (technology, finance, capacity building) [The technology [transfer][requested]];
- (f) Capacity-building support required to implement the mitigation action, and an estimate of the full agreed costs of activities enabling the action;
- (g) Co- benefits for local sustainable development, if information exists;
- (h) A description of the anticipated implementing agency.

13. Developing country Parties may also submit information on their mitigation actions/goals if they wish.

2. Information on support

14. Developed country Parties [and other sources of funding] [will] [are invited to] submit through the secretariat the following information on support available and provided, inter alia:

- (a) Name of the source of support;
- (b) Name of the executing agency or the organization channeling the fund, including contact information;
- (c) Amount of support available, including information on the currency;
- (d) Type of finance (grant, loan, equity investment or other);
- (e) Types of actions that may be supported and eligibility criteria, if applicable;
- (f) Status of delivery, related future timeframe and individual actions supported;
- (g) Whether the support available is categorized as official development aid;
- (h) Amount contributed by the private sector.

15. To maximize opportunities for [support] matching, all other potential donors, including bilateral, regional, multilateral, public and private, are encouraged to also submit information on support available to assist developing countries in preparation and implementation of nationally appropriate mitigation actions seeking support.

16. Information on support submitted to the registry should, when relevant, [will] be organized and presented to [create a useful resource] describing sources of support according to the thematic areas and geographical areas they support, links to their eligibility criteria and project cycle descriptions, as well as information about projects recently financed.

AD HOC WORKING GROUP ON LONG-TERM COOPERATIVE ACTION UNDER THE CONVENTION

Fourteenth session (third part)

Panama City, 1-7 October 2011

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 text¹ 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 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 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

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] supported 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;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 [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] 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 the Party concerned;
 - (d) Take into account the wider economic and development needs of the Party concerned, as well as its national circumstances;
 - (e) [Promote] voluntary participation with 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 or obligations 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.
- (NEW PARAGRAPH) ICA will be conducted on supported actions to ensure the efficient and effective use of the support provided, unless it is volunteered by the developing country party

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

2. Scope

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

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] supported mitigation actions, their effects and associated methodologies and assumptions;
 - (c) [Status of 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] Partynominated 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 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].
14. The country concerned could respond to the questions or suggestions of the expert team. [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. 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

3. Outputs

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

C. Outcome of international consultations and analysis

Option to paragraph 19 above:

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

Agenda Item 3.2.2 ICA:

Note: A marked-up text of the co-facilitators notes on ICA is attached for clarification of these changes

- | | |
|------------------------------------|---|
| I. Objectives, Par. 1 (b): | Insert: “supported” after [domestically funded]. |
| I. Objectives, Par. 1 (h): | Delete this sentence in its entirety. |
| II. Principles, Par. 4 (e): | Delete: “universal” and replace with “voluntary”. |
| II. Principles, Par. 4 (i): | Insert “or obligations” after “commitments”. |
| II. Principles, Par. 4: | Insert a new Paragraph: “ICA will be conducted on supported actions to ensure the efficient and effective use of the support provided, unless it is volunteered by the developing country party”. |
| III. Process, Par. 5 (a) alt: | Delete this paragraph in its entirety. |
| III. Process, Par. 6: | Delete this sentence in its entirety. |
| A. Technical analysis, Par. 7 (b): | Insert: “supported” before “mitigation actions”. |
| B. Int’l Consultation, Par. 17: | Delete: Paragraph 17 and its subparagraphs: a, b and c in its entirety. |
| B. Int’l Consultation, Par. 18: | Delete: Paragraph 18 in its entirety. |
| B. Int’l Consultation, Par. 18: | Delete: Option 2 alt. paragraph in its entirety. |
| C. Outcome, Par. 19: | Delete: Paragraph 19 in its entirety |

AD HOC WORKING GROUP ON LONG-TERM COOPERATIVE ACTION UNDER THE CONVENTION

Fourteenth session (third part)

Panama City, 1-7 October 2011

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 for adoption of guidelines for biennial update reports from Parties not included in Annex I to the Convention]

- 1. Recall relevant decisions;*
- 2. Recognize the need for enhanced support;*
- 3. Invitation to the GEF and to Annex II and other Parties for provision of support for preparation of biennial update reports;*
- 4. Frequency of submission of biennial update reports;*
- 5. Flexibility in reporting;*
- 6. Date of submission of the first biennial update reports.*

Possible elements of draft guidelines for biennial update reports from Parties not included in Annex I to the Convention

I. Introduction

1. Parties not included in Annex I to the Convention (non-Annex I Parties) should submit updates of their national communication two years after the submission of their third national communications. Least Developed Countries (LDCs) and Small Island Developing States (SIDS) may submit biennial update reports at their discretion.
2. Non-Annex I Parties will implement these guidelines consistent with their capabilities and the level of support provided.

A. Objectives

3. The objectives of the guidelines for the preparation of the biennial update reports from non-Annex I Parties are:
 - (a) To assist non-Annex I Parties in meeting their reporting requirements under Articles 4, paragraph 1(a) and 12 of the Convention and decision 1/CP.16;
 - (b) [To encourage the presentation of information in a consistent, transparent, and flexible manner, taking into account specific national and sectoral circumstances];

- (c) [To facilitate provision of information on mitigation actions and their effects.]
- (d) To facilitate the presentation of information on finance, technology and the capacitybuilding support required [and received] for the preparation of biennial update reports;
- (e) [To serve as policy guidance to the operating entity of the financial mechanism for the timely provision of financial support needed by developing country Parties in order to meet the agreed full costs of complying with their obligations under Article 12, paragraph 1, and any additional reporting agreed by the COP];
- (f) ;
- (g) To ensure that the Conference of the Parties (COP) has sufficient information to carry out its responsibility of assessing the implementation of the Convention by Parties.
- (h) [To facilitate the international consultations and analysis of biennial reports under the Subsidiary Body for Implementation.]

B. Scope

4. The scope of biennial update reports is to provide an update to the most recently submitted national communication in the following areas:

- (a) The national greenhouse gases (GHGs), including a national inventory report;
- (b) [Information on mitigation actions and their effects];
- (c) [Information on methodologies and assumptions];
- (d) A description of support needed and received;
- (e) [Information on the level of support received to enable the preparation and submission of biennial update reports];
- (f) [Information on domestic measurement reporting and verification];

(NEW PARAGRAPH) Information on support received for adaptation to adverse effects of climate change and the adverse effects of response measures to climate change.

II. National greenhouse gas inventory

5. Each non-Annex I Party should, in accordance with Article 4, paragraph 1(a), and Article 12, paragraph 1(a), of the Convention, communicate to the COP an updated national inventory of anthropogenic emissions by sources and removals by sinks of all GHGs not controlled by the Montreal Protocol, to the extent [of the provision of funds from developed country Parties], and its capacities permit, following the provisions in these guidelines.

6. Each non-Annex I Party [shall] [should] submit inventory data for the year [according to the provision of funds] [2010] [N-X]3 [not more than Y years from the date of last submission]. LDCs and SIDS [should] [may] estimate their national GHG inventories for recent years at their discretion [Developing country Parties whose share of global emissions is less than 1% may also estimate their national GHG inventories for recent years at their discretion]

7. Non-Annex I Parties should submit summary information tables of previously reported inventory or inventories (for example for years 1994 and 2000).

8. The inventory submission [shall][should] consist of a national inventory report (NIR).

A. Methodologies [Enabling environment to implement methodologies]

9. Non-Annex I Parties should use the 1996 IPCC Guidelines approved by the COP for estimating and reporting their updated national GHG inventories. Parties may also continue to use UNFCCC NAI Greenhouse Gas Inventory Software to calculate and report emissions and removals, and report key category analysis.

10. In accordance with the IPCC Guidelines and depending on their capacity, Parties may use different methods (tiers) included in the IPCC Guidelines to estimate their emissions, giving priority to those methods which are believed to produce the most accurate estimates, depending on national circumstances and the availability of data.

11. The IPCC Guidelines offer a default methodology which includes default emission factors and in some cases default activity data. As these default factors, data and assumptions may not always be appropriate for specific national circumstances, non-Annex I Parties, as encouraged by the IPCC Guidelines, can also use national methodologies and regional emission factors and activity data for key sources, where they consider these to be better able to reflect their national situations, provided that these methodologies are more accurate than the default data and are documented transparently.

12. Non-Annex I Parties are encouraged to apply the IPCC good practice guidance, taking into account the need to improve transparency, consistency, comparability, completeness and accuracy in inventories.

13. Non-Annex I Parties are also encouraged, to the extent possible, to undertake any key category analysis as indicated in the IPCC good practice guidance to assist in developing inventories that better reflect their national circumstances;

14. [Non-Annex I Parties [should] include a national inventory report with information on the compilation of the inventory, including information on: institutional arrangements; analysis of key categories; methodologies, assumptions, emission factors and activity data used; level of uncertainty; [changes from previous years]; quality assurance/quality control; and identification of areas of improvement noting that accuracy will improve over time]

15. [Non-annex I Parties may use the [2006] IPCC Guidelines at their discretion.]

B. Reporting⁴ [Enabling environment for preparation of reporting]

16. Non-Annex I Parties [should][are encouraged to] describe updates to procedures and arrangements undertaken to collect and archive data for the preparation of national GHG inventories, as well as efforts to make this a continuous process, including information on the role of the institutions involved.

17. Each non-Annex I Party should, as appropriate and to the extent possible, provide in its updated national inventory, on a gas-by-gas basis and in units of mass, estimates of anthropogenic emissions of carbon dioxide (CO₂), methane (CH₄) and nitrous oxide (N₂O) by sources and removals by sinks.

18. Each non-Annex I Party, depending on its capacity and the significance⁵ of a gas is encouraged to also provide in its national inventory, on a gas-by-gas basis and in units of mass, estimates on the following greenhouse gases: perfluorocarbons (PFCs), hydrofluorocarbons (HFCs) and sulphur hexafluoride (SF₆).

19. [Non-Annex I Parties should, to the extent possible, and if disaggregated data are available, report emissions from international aviation and marine bunker fuels separately in their inventories. Emission estimates from these sources should not be included in the national totals].

20. [Non-Annex I Parties [should] [wishing to] report on aggregated GHG emissions and removals expressed in CO₂ equivalents using the global warming potentials (GWPs) provided by the IPCC in its Second Assessment Report (.the 1995 IPCC GWP Values.) based on the effects of GHGs over a 100-year time horizon.]

21. Non-Annex I Parties [should] [are encouraged to] provide updated information on methodologies used in the estimation of anthropogenic emissions by sources and removals by sinks of GHGs not controlled by the Montreal Protocol, including on the sources of emission factors and activity data. [Where previously reported data has been recalculated, non-Annex I Parties should describe the reasons for the recalculation, the manner in which the recalculations have been undertaken and the effect in terms of emissions/removals reported.]

22. Non-Annex I Parties [should][are encouraged to] include in their biennial update reports the inventory sectoral tables and worksheets of the IPCC, in electronic format.

23. Non-Annex I Parties are encouraged to provide updated information on the level of uncertainty associated with inventory data and their underlying assumptions, and to describe the methodologies used, if any, for estimating these uncertainties.

III. Mitigation actions [supported by developed country Parties]

Option 1

24. Non-Annex I Parties [shall][are encouraged to] provide up-to-date information on actions to mitigate climate change, by addressing anthropogenic emission by sources and removals by sinks of all GHGs not controlled by the Montreal Protocol.

25. For each mitigation action or suite of mitigation actions [supported by developed countries and voluntarily reported for unsupported actions] [both supported and unsupported], [including those actions contained in document FCCC/AWGLCA/2011/INF.1] non-Annex I Parties are encouraged to provide the following [to the extent possible][as per respective capabilities and capacities].

(a) Name and description of the mitigation action, including up-to-date information on the nature of the action, [base year] [start date and time frame], coverage (i.e. sectors and gases), quantitative goals and progress indicators;

(b) Objectives of the policy or measure;

(c) Up-to-date information on the progress of implementation, and the results achieved, such as estimated outcomes (metrics depending on type of action) and estimated emissions reductions, to the extent possible. Highlight whether the policy or measure is in the planning stage or is adopted or whether it is under implementation;

(d) Information on their projected emissions and removals for the sectors reported in their GHG inventory, in accordance with their capacities and respective capabilities;

(e) [Supplementary information on incremental costs, related public or private investments, and expected benefits other than mitigation for each action or a group of actions];

(f) Parties participating in bilateral and multilateral offset programmes should provide up-to-date information on offset programme elements including offset type, coverage, rules, including provisions for additionality, transparency, permanence and for prevention of double counting and leakage.

(g) Up-to-date information on methodologies and assumptions (specific to the mitigation action, including where relevant, methods for determining the baseline used, business-as-usual information or according to national or other metrics).

Option 26 (option to paragraphs 24 and 25)

Based on national circumstances, non-Annex I Parties are encouraged to provide, to the extent their capacities allow, information on programmes and measures implemented or planned⁷ which contribute to mitigating climate change by addressing anthropogenic emissions by sources and removals by sinks of all GHGs not controlled by the Montreal Protocol, including, as appropriate, relevant information by key sectors on methodologies, scenarios, results, measures and institutional arrangements..

IV. Finance, technology and capacity-building needs and support received

26. Non-Annex I Parties [shall] [should] also provide up-to-date information on financial resources, technology transfer, capacity-building, and technical support received from the Global Environment Facility (GEF), Annex II Parties, any other Parties, or bilateral and multilateral institutions, for activities relating to climate change and related financial, technical and capacity building needs, including for the preparation of the current biennial update report. The information should be based on the most recent information available and should cover two more recent years since the submission of the last report.

27. Non-Annex I Parties are encouraged to provide, to the extent their capacities permit, a list of actions proposed for financing (support needs), in accordance with Article 12, paragraph 4, of the Convention, in preparation for arranging the provision of technical and financial support. For Parties using the registry, information on mitigation actions, should aim to be consistent with information provided in the Registry.

28. With regard to the development and transfer of technology, non-Annex I Parties [shall] [should] provide information on country-specific technology needs and technology support received, that is support received for activities to promote, facilitate or enhance the development, transfer and diffusion of climate technologies; this information shall at least include the donor country or organization, the amount of the financial support received, the description of the activity or initiative, and the type of technology transferred, including on how this assistance has been utilized in support of the development and enhancement of endogenous capacities, technologies and know-how.

V. Submission

29. The information provided in accordance with these guidelines [shall] be communicated by each non-Annex I Party to the COP in a single document, in electronic format.

30. Non-Annex I Party should submit its biennial update report in [English] [any official UN language].

31. Additional or supporting information may be supplied through other documents, such as a technical annex.

VI. [Updating the guidelines]

32. These guidelines shall be reviewed and revised, as appropriate, in accordance with decisions of the COP.]

Agenda Item 3.2.2 Biennial Update Reports:

Note: A marked-up text of the co-facilitators notes on Biennial reports is attached for clarification of these changes

- I. Introduction, Par. 1: Delete: “shall” and replace with “should”
Delete: “reports on biennial basis as a component” and replace with “updates of some sections”.
Delete: “and in biennial update reports” and replace with “two years after the submission of their national communications”.
- I. A. Objectives, Par. 3 (b): Delete: “comparable, complete, accurate, timely”.
- I. A. Objectives, Par. 3 (e): Insert after paragraph 1: , and any additional reporting agreed by the COP”.
- I. A. Objectives, Par. 3 (f): Delete this sentence in its entirety.
- I. B. Scope, Par. 4 (a): Delete: “inventory of anthropogenic emissions by sources and removal by sinks of all” and “not controlled by the Montreal Protocol”.
- I. B. Scope, Par. 4: Insert a new Paragraph: “Information on support received for adaptation to adverse effects of climate change and the adverse effects of response measures to climate change”.
- I. B. Scope, Par. 4 (g): Delete this sentence in its entirety.
- II. A. Methodologies, Par. 5: Delete: “shall” and replace with “should”
- II. A. Methodologies, Par. 9: Insert: “1996” before “IPCC”
- II. A. Methodologies, Par. 17: Delete: “shall” and replace with “should”

Submission from Singapore to the Ad-hoc Working Group on Long-term Cooperative Action under the Convention (AWG-LCA) relating to Facilitative Action Agenda Items 3.2.1 and 3.2.2

This submission is prepared as a follow-up to the discussions at the Panama session of the AWG-LCA in October 2011 on the invitation to Parties to make textual submissions in response to the co-facilitators' draft non-papers on the items relating to a work programme for the development of modalities and guidelines listed in document FCCC/AWGLCA/2010/L.7 on Nationally Appropriate Mitigation Commitments or Actions by developed country Parties (Agenda 3.2.1) and on Nationally Appropriate Mitigation Actions by developing country Parties (Agenda 3.2.2).

Proposed Amendments to Non-paper by the co-facilitators on possible elements of draft guidelines for biennial update reports from Parties not included in Annex I to the Convention (172 kB) (version of 14 October 2011 at 16:30)

Para	Suggested Amendments	Remarks
3	<i>Invitation to the GEF and to Annex II and other Parties developed country parties and other developed country Parties in Annex II for provision of support for preparation of biennial update reports</i>	Amended to reflect Convention language.
1	Parties not included in Annex I to the Convention (non-Annex I Parties) shall submit reports on biennial basis as a component of their national communication and biennial update reports in years which Parties are not required to submit their national communications. Least Developed Countries (LDCs) and Small Island developing States (SIDS) may submit biennial update reports at their discretion	Current formulation seems to apply that two separate reports are needed in years when Parties submit their national communications.
2	Non-Annex I Parties will implement these guidelines consistent with their capabilities and the level of support provided by developed country Parties.	
3 (c)	To facilitate provision of information on mitigation actions, and their effects.	To delete 3(c) and combine with revised 3(f) below, taking reference from para 60 of 1CP/16.
3 (d)	To facilitate the presentation of information on finance, technology and the capacity building support required [and received] for the preparation of biennial update reports	The presentation of information on support received and required is not limited to only information on support for the preparation of

		biennial update reports.
3 (f)	To enable enhanced reporting by non-Annex I Parties on mitigation actions and their effects, and support received, with additional flexibility to be given to the least developed country Parties and small island developing states, in accordance with their capacities and respective capabilities, and the availability of support	To be amended to take reference from para 60 of 1/CP.16.
7	Non-Annex I Parties which have not previously reported on their national greenhouse gas inventories should submit summary information tables of previously reported inventory or inventories for previous submission years (for example for years 1994 and 2000)	Reporting on previously reported data should only be necessary for Non-Annex I Parties who have not previously reported on their national greenhouse gas inventories.
26	Non-Annex I Parties [shall] [should] also provide up-to-date information on financial resources, technology transfer, capacity-building, and technical support received from the Global Environment Facility (GEF), Annex II Parties, any other Parties, developed country parties and other developed country Parties in Annex II, or bilateral and multilateral institutions, for activities relating to climate change and related financial, technical and capacity building needs, including for the preparation of the current biennial update report. The information should be based on the most recent information available and should cover two more recent years since the submission of the last report	Amended to reflect Convention language.
4 (f)	Information on domestic measurement reporting and verification]	Reporting on domestic MRV system goes beyond the scope of the BUR.

Non-paper by the co- facilitators on possible elements of modalities and procedures for international consultation and analysis (version of 14 October 2011 at 16:30).

Para	Suggested Amendments	Remarks
1 (b)	To increase the transparency of [domestically funded] nationally appropriate mitigation actions of developing country Parties [supported by developed countries] [and their effects] and the financial, technological and capacity-building support provided by developed country Parties.	The ICA is an integral part of the MRV of support. The biennial update report includes information on support received and the ICA should be able to verify this information.

Para	Suggested Amendments	Remarks
1 (e)	To promote continuous learning and improvement in implementing mitigation actions	Objective 1(e) is a repetition of 1(d)
1 (g)	To assist Parties in addressing identifying technical difficulties faced in preparation of the biennial [update] reports and to provide recommendations, upon request, on how Parties may improve subsequent biennial update reports.	The current text seems to imply that the technical panel of experts will help to solve the technical difficulties faced by Parties. It would be more realistic to limit the scope of recommendations to how Parties may improve subsequent reports.
2 (b)	2(b) alt. To take note of a Party's mitigation actions and check if these mitigation actions are effective in achieving their objective(s) based on information submitted in the biennial update reports.	It would be difficult for the technical panel of experts to analyse whether Parties' actions are implemented based on information submitted by Parties alone. Instead, the experts should focus on checking for accuracy and/or completeness of information submitted.
4	4 (alt) Facilitate the universal participation of developing country Parties in the ICA process, through the provision of support by developed country Parties, and taking into account specific national and sectoral circumstances, and with additional flexibility to be given to the least developed country Parties and small island developing states. Prioritize 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 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.	Amendment to reiterate the principle of universal participation, drawing reference from para 3(b) of the draft BUR guidelines, and acknowledging the need for additional flexibilities for LDCs and SIDS. The proposal to introduce criteria for differentiation among developing country Parties will be contentious and may delay the implementation of the ICA process.

Para	Suggested Amendments	Remarks
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.	It is not clear why there is a need to stipulate the number of experts to focus on analysis of national GHG inventories. Nonetheless, if the decision is to do so, the number of experts should be even numbers, with equal representation from Annex I Parties and Non-Annex I Parties.
13	Where necessary, experts will be authorized may request to meet directly with Party representatives, request additional documentation or information from the Party and, where consent is given , conduct in-country visits, as necessary.	Given that the ICA process should be conducted in consultation with the Party concerned, there is value in allowing the experts to meet with Party representatives. However, the reference “will be authorized” is inappropriate and it is not clear whose authorisation would be provided. In line with respecting a Party’s national sovereignty, it would be more appropriate to use the reference “may request”.
15	The output of the technical analysis by the technical experts team will be an analysis report. 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 SBI	The ICA process is conducted under the SBI.

Non-paper by the co-facilitators on Registry (version of 14 October 2011 at 16:00)

Para	Suggested Amendments	Remarks
2	The registry will be developed as a dynamic, user-friendly web-based searchable platform that facilitates matching of support to individual	The recognition function of the registry is accomplished by recording the NAMAs in a

	mitigation actions and recognizes recorded nationally appropriate mitigation actions by recording them in a section of the registry upon request.	section of the registry.
7	<p>Option 2²¹ (option to paragraph 7)</p> <p>A separate part of the registry will record the following information on [domestically funded] [domestically funded and internationally supported] mitigation actions submitted by developing country Parties for the purpose of their recognition, upon the request by developing country Parties. Based on national circumstances, non-Annex I Parties are encouraged to provide, to the extent their capacities allow, information on programmes and measures implemented or planned²² which contribute to mitigating climate change by addressing anthropogenic emissions by sources and removals by sinks of all GHGs not controlled by the Montreal Protocol, including, as appropriate, relevant information by key sectors on methodologies, scenarios, results, measures and institutional arrangements.</p>	<p>The registry should be flexible enough to capture the diversity of developing country Parties' mitigation actions and should not dictate the types of information developing country Parties may wish to submit.</p> <p>Proposed text takes reference from paragraph 40 of Annex to decision 17/CP.8 (guidelines for NatComms for Non-Annex I parties)</p>

Non-paper by the facilitator on possible elements of draft guidelines for biennial reports of developed country Parties (version of 14 October 2011 at 17:00)

Para	Suggested Amendments	Remarks
7 (a)	The emission reduction target expressed as a per cent reduction in emission levels, the base year and base year level of emissions against which the per cent emission reduction is set, the methodology used for its calculations, the year in which the target is to be achieved [, emission reduction trajectory and target converted into quantified emission limitation and reduction and assigned amount], [if applicable]	To allow for comparability.
27	Developed country Parties shall provide information on their provision of financial, technological and capacity-building support to developing country Parties in a complete, consistent, transparent, accurate and comparable manner. In reporting such information, to the extent possible, Parties should	To increase transparency and comparability of financial, technological and capacity-building support.

²¹ Paragraph 40 of annex to the decision 17/CP.8

²² Such as measures being considered by the government for future implementation

	distinguish between support provided for mitigation activities, adaptation activities and other activities (such as capacity-building).	
32	[In reporting information, in accordance with paragraphs 30 and 31, Parties can categorize funding as related to mitigation or adaptation according to the criteria [to be agreed by the Conference of the Parties][developed by the Organisation for Economic Co-operation and Development.s Development Assistance Committee (DAC)]. Parties should use the DAC codes for categorizing support by specific sectors.]If Parties decide to categorize funding using a different methodology, they shall specify such methodology in their biennial report.	To increase the transparency and comparability of reported information
32	<i>bis</i> Each developed country Party shall specify whether the financial contributions reported at the time of submission of the biennial report are pledged/planned, committed, allocated by a national governing body, or disbursed to the recipient.	To facilitate transparency on the status of developed country Parties' financial contributions.

Non-paper by the facilitator on possible elements of modalities and procedures for international assessment and review (version of 14 October 2011 at 17:00)

Para	Suggested Amendments	Remarks
1 (e)	To build confidence that the implementation of mitigation actions of developed country Parties are in line with their quantified economy-wide emission reduction targets	Similar to 1(g)
2 (c)	To promote ensure accuracy, completeness, comparability, consistency and transparency in the review of information	
3 (c)	To facilitate the [consideration of][review] comparability of effort among developed country Parties.	The IAR aims to facilitate comparability of effort among developed country Parties.
4 (b)	[An [assessment][review] of developed country Parties' implementation of the Convention, and for promoting compliance by developed countries Parties with their commitments under the Convention, which is conducted under the auspices of the Subsidiary Body for Implementation;]	To reflect similar language in the Decision 24/CP.7 (Procedures and mechanisms relating to compliance under the Kyoto Protocol)
5	IAR will [review][assess] and [assess][review] based on building upon the existing review process] for each developed country Party the following:	The IAR should be an enhancement on the current review process.

14d	<i>Additional bullet 14(d)</i> Additional information/ answers provided by the Party before or during the Review.	These inputs should also be considered as part of the outputs of the review.

Paper no. 12: Switzerland

Submission by Switzerland, 21 October 2011

3.2.2. Draft Modalities and Procedures for International Consultation and Analysis
Non-paper by the facilitators dated 14.10.2011 @ 4:30 PM

Draft decision to adopt the modalities and procedures:

Recalling, in particular, Article 4, paragraphs 1, 3, and 7, Article 10, paragraph 2 (a), and Article 12, paragraphs 1, 5 and 7, of the Convention,

Recalling also its decisions on communications from Parties not included in Annex I to the Convention (non-Annex I Parties) and, in particular, its decision 10/CP.2, 2/CP.4, 12/CP.4, 8/CP.5, 31/CP.7, 32/CP.7 and 17/CP.8,

Recalling further that, by its decision 1/CP.16 (part III.B), it had initiated a process of enhancing the reporting in national communications from non-Annex I Parties, on mitigation actions and their effects, and support received, with additional flexibility to be given to the least developed country Parties and small island developing States,

Noting its decision 1/CP.16 (paragraph 63 and 64) by which a process of international consultation and analysis (ICA) of biennial reports will be conducted under the Subsidiary Body for Implementation, aiming to increase transparency of mitigation actions and their effects,

Noting further that the biennial update reports by non-Annex I Parties and the summary reports resulting from the ICA process will be an important part of the first review of the adequacy of the long-term global goal (decision 1/CP.16, part V), starting in 2013 and to be concluded by 2015,

Recognizing the need to have an efficient, cost-effective and practical ICA process which does not impose an excessive burden on Parties and on the UNFCCC Secretariat,

1. *Adopts* the modalities and procedures for international consultation and analysis, annexed to this decision;
2. *Decides* that Parties not included in Annex I to the Convention (non-Annex I Parties) that have submitted their first biennial report will undergo the ICA process according to the modalities and procedures referred to in paragraph 1 above;
3. *Decides* that the modalities and procedures referred to in paragraph 1 above will be enhanced further into guidelines, once the first round of the ICA process has been performed and on the basis of the experience gained from it.
4. *Decides* that the frequency of the subsequent rounds of the ICA process will be included in the guidelines referred to in paragraph 3 above.

Draft Modalities and Procedures for the International Consultation and Analysis Process:

Reference	Submission by Switzerland	Rationale
I. Para 1(a)	To facilitate [enhance] the capacity-building efforts in developing country Parties	<ul style="list-style-type: none"> To be second in the list of overall objectives To be merged with I. Para 1(d), 1(e) and 1(g): one objective to convey the idea of capacity-building and learning-by-doing
I. Para 1(b)	To increase the transparency of domestically funded nationally appropriate mitigation actions of developing country Parties supported by developed countries [and their effects];	<ul style="list-style-type: none"> This paragraph should be the first one in the list Wording of decision 1/CP.16, paragraph 63 All new mitigation actions completed, implemented or planned since last NC (domestically supported and internationally supported) should be reported in the BUR and then undergo ICA
I. Para 1(c)	Delete	<ul style="list-style-type: none"> Information on emissions available already in BUR and NC (public documents)
I. Para 3	Delete	<ul style="list-style-type: none"> Repetition of previous overall objectives
II. Para 4(c)	Be voluntary and fully involve the Party concerned	<ul style="list-style-type: none"> ICA is not voluntary
II. Para 4(j)	Delete	<ul style="list-style-type: none"> The preparation of the BUR is consistent with the level of support but not ICA as such
II. Para 4(k)	Delete	<ul style="list-style-type: none"> The main focus of the ICA process is the mitigation action (its aim is to increase transparency of mitigation actions and their effects)
III. Option 1	Keep basically Option 1, taking into account comments hereunder on specific paragraphs	<ul style="list-style-type: none"> Option 1 corresponds to the reading we have of decision 1/CP.16, paragraphs 63 and 64.
III. Option 2	Not sufficient	<ul style="list-style-type: none"> Do not follow decision 1/CP.16, paragraphs 63 and 64. The international dimension of ICA is missing. No role for the SBI.
III. Option 2alt	Not sufficient	<ul style="list-style-type: none"> Do not follow decision 1/CP.16, paragraphs 63 and 64. The international dimension of ICA is missing. The summary report is the result of the ICA process as a whole, not only of the consultations between the team of experts and the Party concerned.
III. Para 5(a) alt	Not adequate	<ul style="list-style-type: none"> Confusing. What is described here as a technical analysis process is the International Consultation process described in III. paragraph 5(b) and III. B. paragraph 17
III. Para 6	Keep	<ul style="list-style-type: none"> ICA as frequently as possible to gain experience Flexibility for LCS and SIDS included in the guidelines for BUR
III. Para 6bis	Too theoretical	<ul style="list-style-type: none"> The rhythm of a NC every 4 years with BUR in the middle is theoretical Biennial = one report every 2 years, independently of the frequency of NC
III. A. Para 7(b)	Information on unsupported mitigation actions, their effects and associated methodologies and	<ul style="list-style-type: none"> All mitigation actions should be reported in the BUR and undergo the ICA process

Reference	Submission by Switzerland	Rationale
	assumptions;	
III. A. Para 7(d)	Delete	<ul style="list-style-type: none"> The BUR, as the guidelines indicate it presently, will not inform on the domestic MRV (it will follow general guidelines yet to be adopted by the COP)
III. Para 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 the technical analysis part of the ICA process and the Review part of the IAR process 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.]	<ul style="list-style-type: none"> The expert teams will only serve for the A part of ICA and for the R part of IAR The IC part of ICA and the IA part of IAR will then be conducted under the SBI between the Party concerned and the rest of the Parties (not the experts in their personal capacity)
III. B. Title	[International consultations in synergy and collaboration with local teams	<ul style="list-style-type: none"> Keep the title close to the wording of decision 1/CP.16 (ICA)
III. B. Para 16	The inputs for the international consultations process are the following for each Party concerned: (a) Its biennial [update] reports (b) The expert analysis reports referred to in paragraph 15 above [synthesis report];	<ul style="list-style-type: none"> Clearer if the modalities and procedures apply to each Party undergoing the IC process Decision 1/CP.16 call for an ICA process of biennial reports first
III. B. Para 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. Parties will be allowed to submit written questions in advance. The ICA process international consultations process will consist of the following:	<ul style="list-style-type: none"> It is not the whole ICA process here, only the IC
III. B. Para 17(a)	One to three hours session of consultations, which will consist of a brief presentation by the Party concerned, followed by an oral question and answer session between regional group representatives [Parties] and the Party concerned. Other Parties could participate as observers;	<ul style="list-style-type: none"> Only regional groups' participation in the IC process would demand too heavy a consultation among the groups' members beforehand
III. B. Para 18	For each Party concerned, a summary report, prepared by the secretariat, would be issued to include the following:	<ul style="list-style-type: none"> Clearer if the modalities and procedures apply to each Party undergoing the IC process
III. B. Para 18(a)	[A The technical expert analysis report referred to in paragraph 15 and 16 (a);]	<ul style="list-style-type: none"> For each Party undergoing the ICA process there will be one expert analysis report, based on the BUR
III. C. Para 19	Too heavy a procedure	<ul style="list-style-type: none"> Too many questions/advice/recommendations and answers/reports
III. C Option to p.19	The summary reports of the ICA cycle will be noted by the SBI in its conclusions.	<ul style="list-style-type: none"> The advice and recommendations will be included in the summary reports
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Submission by Switzerland, 21 October 2011

3.2.2. Draft Guidelines for Biennial Update Reports from Parties not included in Annex I to the Convention
Non-paper by the facilitators dated 14.10.2011 @ 4:30 PM

Draft decision to adopt the guidelines:

Recalling, in particular, Article 4, paragraphs 1, 3, and 7, Article 10, paragraph 2 (a), and Article 12, paragraphs 1, 5 and 7, of the Convention,

Recalling also its decisions on communications from Parties not included in Annex I to the Convention (non-Annex I Parties) and, in particular, its decision 10/CP.2, 2/CP.4, 12/CP.4, 8/CP.5, 31/CP.7, 32/CP.7 and 17/CP.8,

Recalling further that, by its decision 1/CP.16 (part III.B), it had initiated a process of enhancing the reporting in national communications from non-Annex I Parties, on mitigation actions and their effects, and support received, with additional flexibility to be given to the least developed country Parties and small island developing States,

Noting, in particular, its decision 1/CP.16, part III.B, paragraph 60 (c), stating that developing countries, consistent with their capabilities and the level of support provided for reporting, should submit biennial update reports containing updates of national greenhouse gas inventories, including a national inventory report and information on mitigation actions, needs and support received,

Noting further that the biennial update reports by non-Annex I Parties will be an important part of the first review of the adequacy of the long-term global goal (decision 1/CP.16, part V), starting in 2013 and to be concluded by 2015,

Acknowledging that enhanced reporting through national communications and biennial update reports from non-Annex I Parties depends on their respective capabilities and the level of support they received,

Recognizing the important role that the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention could also play in facilitating technical advice and support for the preparation and submission of the first biennial update report,

1. *Adopts* the guidelines for the preparation of biennial update reports by Parties not included in Annex I to the Convention, annexed to this decision (hereafter the UNFCCC biennial reporting guidelines for non Annex I Parties);
2. *Decides* that Parties not included in Annex I to the Convention (non-Annex I Parties) shall submit a report biennially either as a component of their national communication or as a stand-alone biennial update report. Least Developed Countries (LDCs) and Small Island Developing States (SIDS) may submit biennial update reports at their discretion.
3. *Decides* that non-Annex I Parties, consistent with their capabilities and the level of support received, should use the guidelines mentioned in paragraph 1 above for the preparation of their first biennial update report and submit this report by 30 June 2014 or 18 months after the release of funds by **the designated financial mechanism of the convention**;
4. *Decides* that the first biennial update report submitted by non Annex I Parties shall cover, at a minimum, the calendar year 2010 emissions or the base year of their pledges, and additionally more recent years as appropriate, and that the next biennial update reports shall cover a calendar year that do not precede the submission date **by more than 3 years**;
5. *Decides* that the reporting year of the subsequent biennial update reports by non-Annex I Parties shall be determined by the Conference of the Parties at its twentieth session, taking into account the principle of differentiated timetables set by the Convention;
6. *Decides* that the UNFCCC guidelines referred to in paragraph 1 above will undergo a revision process based on the experience made after the first submission of the biennial update reports by Parties not included in Annex I to the Convention;
7. *Requests* the **designated financial mechanism of the convention** to make available support, within 12 months from this decision and on the basis of full agreed cost funding, to non-Annex I Parties preparing their first biennial update reports.

Draft guidelines for the biennial reports (BUR) from Parties not included in Annex I of the Convention:

Reference	Submission by Switzerland	Rationale
I. Paras 1 and 2	Delete	<ul style="list-style-type: none"> Content of these paragraphs stands in the Cancún decision, to be repeated in the decision adopting the guidelines rather than in the guidelines themselves
I. A. Para 3(d)	To facilitate the presentation of information on finance, technology and the capacity-building support required [and received] for the preparation of biennial update reports	<ul style="list-style-type: none"> Report on support needed and received not only for the preparation of BUR but for all the NAMAs
I. A. Para 3(f)	Insert between paragraphs 3(a) and 3(b)	<ul style="list-style-type: none"> Paragraph 3(a) refers to decision 1/CP.16 and current paragraph 3(f) provides precision on the relevant provisions of this decision
I. A. Para 3(h)	Insert after paragraph 3(f) in its new position	<ul style="list-style-type: none"> Also related to decision 1/CP.16
I. B. Para 4(e)	Delete	<ul style="list-style-type: none"> Information to be included in the Support received section of the BUR
I. B. Para 4(f)	Delete	<ul style="list-style-type: none"> Domestic MRV will follow general guidelines to be developed under the Convention (decision 1/CP.16, paragraph 62) If information on domestic MRV is to be kept in the structure of the BUR, then guidelines for the reporting of such information should be provided (not the case in the current non-paper)
II. Para 5	Each non-Annex I Party shall, in accordance with Article 4, paragraph 1(a), and Article 12, paragraph 1(a), of the Convention, communicate biennially to the COP an updated national inventory of anthropogenic emissions by sources and removals by sinks of all GHGs not controlled by the Montreal Protocol, to the extent [of the provision of funds from developed country Parties], and its capacities permit, following the provisions in these guidelines.	<ul style="list-style-type: none"> “Provision of funds from developed country Parties” already in decision 1/CP.16, paragraph 60(c) and in Article 4, paragraph 3 of the Convention (full agreed costs for obligations under Article 12.1) “To the extent its capacity permit” already in Article 12, paragraph 1(a) of the Convention
II. Para 6	Each non-Annex I Party [shall] [should] submit inventory data for the year [according to the provision of funds] [2010] [N-X] [not more than Y years from the date of last submission]. LDCs and SIDS [should] [may] estimate their national GHG inventories for recent years at their discretion. For their first biennial update report, [Developing country Parties whose share of global emissions is less than 1% may also estimate their national GHG inventories for recent years at their discretion]	<ul style="list-style-type: none"> General obligation for all non-Annex I countries with flexibility for some of them Flexibility for the countries with less than 1% of global emissions only for the first BUR, as pilot and to ensure that the Review of the 2°C goal has sufficient inventory data from the major emitters
II. A. Title	Methodologies [Enabling environment to implement methodologies]	<ul style="list-style-type: none"> Methodologies as it stands in Annex to decision 17/CP.8 (guidelines NC for NA1)
II. A. Para 9	Non-Annex I Parties should use the latest IPCC Guidelines approved by the COP for estimating and reporting their updated national GHG inventories. Parties may also continue to use UNFCCC NAI Greenhouse Gas Inventory	<ul style="list-style-type: none"> With enhanced reporting by NA1, IPCC Guidelines will be revised more often to take into account the needs expressed by these countries. The latest IPCC Guidelines will therefore be the most suitable for them

Reference	Submission by Switzerland	Rationale
	Software to calculate and report emissions and removals, and report key category analysis.	
II. A. Para 15	Delete	<ul style="list-style-type: none"> The latest IPCC Guidelines should be used
II. B. Title	Reporting [Enabling environment for preparation of reporting]	<ul style="list-style-type: none"> Reporting as it stands in Annex to decision 17/CP.8 (guidelines NC for NA1)
II. A. Para 16	Non-Annex I Parties [should][are encouraged to] describe updates to procedures and arrangements undertaken to collect and archive data for the preparation of national GHG inventories, as well as efforts to make this a continuous process, including information on the role of the institutions involved.	<ul style="list-style-type: none"> More frequent reporting like BUR will need procedures, arrangements and institutions, whose evolution should be described in the BUR
II. A. Para 18	Each non-Annex I Party, shall depending on its capacity and the significance of a gas is encouraged to also provide in its national inventory, on a gas-by-gas basis and in units of mass if these gases amount for more than X% of the national total emissions , estimates on the following greenhouse gases: perfluorocarbons (PFCs), hydrofluorocarbons (HFCs) and sulphur hexafluoride (SF ₆).	<ul style="list-style-type: none"> Rewording of the significance of a gas
II. A. Paras 20-22	“Should” better as “wishing to” or “are encouraged to”	<ul style="list-style-type: none">
III. Title	Mitigation actions [supported by developed country Parties]	<ul style="list-style-type: none"> All Mitigation actions should be reported in the BUR, also the domestically supported ones
III. Para 24	Non-Annex I Parties [shall][are encouraged to] provide up-to-date information on actions to mitigate climate change, by addressing anthropogenic emission by sources and removals by sinks of all GHGs not controlled by the Montreal Protocol.	<ul style="list-style-type: none"> Keep this paragraph anyway, be Option 1 or Option 2 be chosen
III. new Option	Based on national circumstances, non-Annex I Parties shall provide information in a tabular format on programmes and measures completed, newly implemented or planned since the last national communication, which contribute to mitigating climate change, such as: <ul style="list-style-type: none"> (a) Description of the mitigation action (objective, timeframe, coverage, status of implementation) (b) Structure of support for the mitigation action (domestic, international, offset) (c) Estimation of the effects of the mitigation action to-date (methodologies and assumptions, metrics) (d) To the extent possible, projected emissions (model used, assumptions) 	<ul style="list-style-type: none"> Mix of paragraph 25 and Option 2
IV. Para 27	Delete	<ul style="list-style-type: none"> The Registry is the tool for the matching of support needs to implement mitigation

Reference	Submission by Switzerland	Rationale
		action. No duplication of this information in the BUR
IV. Para 28	Delete	<ul style="list-style-type: none"> • This function will be performed by the Technology Mechanism. No duplication of this information in the BUR
V. Para 30	Non-Annex I Party should submit its biennial update report in [English] [any official UN language].	<ul style="list-style-type: none"> • BUR to be short and concise, not longer than the executive summary of the National Communication • To facilitate the ICA process based on the BUR
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October 20, 2011

Submission by the United States of America

Agenda Item 3.2.2 - Possible elements of modalities and procedures for international consultations and analysis

Comments for incorporation into the draft text are included below:

I. Possible elements of draft decision text1 for adoption of modalities and procedures for international consultation and analysis

- Insert as 1bis: “Recognizing the importance of ICA;”
- Insert as 1ter: “Adoption of the modalities and procedures as contained in an annex to this decision;”
- Paragraph 2: Decision 1/CP.16, paragraph 63 makes absolutely clear that ICA is on the basis of biennial reports, not biennial update reports. The paragraph should be edited as follows “Reiterates that ICA will be conducted on the basis of biennial reports [taking into consideration the flexibility provided for in paragraph 60 of decision 1/CP.16].
- Option 2 to paragraph 4 is not an option to the other paragraphs, it is the baseline, as 1/CP.16 agreed that ICA is on the basis of biennial reports, which by definition are biennial. So the following language should be inserted as 3bis: “ICA will be conducted on a biennial basis.”
- A paragraph following the new 3bis could introduce further flexibility for some countries, in line with paragraph 4.
- Insert as 4bis: “Setting the date for review and revision of the modalities and procedures based on the experiences gained.”

I. Objectives

Paragraph 1 on overall objectives and Section II. on principles should be merged into a single paragraph of objectives (following the common practice of all Convention guidelines, where principles are contained in the Convention itself, not in the guidelines, though these elements can be captured as clear objectives). These elements are interrelated and the principles themselves were already agreed in Cancun.

- The lists is long and repetitive, and does not track adequately with what was laid out as the foundational objectives and principles in 1/CP.16, paragraphs 63 and 64 – any elements that do not flow from 1/CP.16 should be deleted and the following objectives and principles should be maintained and reordered logically in the following manner:
- From paragraph 1:
 - (b) To increase the transparency of nationally appropriate mitigation actions of developing country Parties and their effects, including associated methodologies and assumptions, and progress in implementation of mitigation actions, including those listed in FCCC/AWGLCA/2011/INF.1;

- (a) To [facilitate] the capacity-building efforts in developing country Parties in preparation of the biennial reports, and to promote continuous learning and improvement in implementing and reporting of mitigation actions;
- (f) To facilitate the information required by the Conference of the Parties to assess the implementation of the Convention;
- From paragraph 4, the following paragraphs originate from 1/CP.16 and should be retained (with deletion of all others):
 - (a) Be non-intrusive, non-punitive, [non-confrontational] and respectful of national sovereignty;
 - (b) Be a facilitative [and cooperative] process based on interactive dialogue;
 - (g) [Discussions regarding the appropriateness of domestic policies and measures do not form part of the [ICA] process];
- Paragraph 3: “In addition to the overall objectives in paragraph 1, the specific objective of the international consultations under the SBI is to promote transparency of developing country mitigation actions [and GHG emissions] through [a facilitative] consultations [process] involving a facilitative sharing of views among Parties [and to build the capacity of developing country Parties].”

III. Process and Scope

- Paragraph 5 – should follow 1/Cp.16 as agreed, which makes clear that ICA is on the basis of biennial reports, not biennial update alone, 5(a) should read: “A technical analysis of biennial reports by a team of technical experts in consultation with the Party concerned,” We would not agree to (a) alt, as it is not consistent with 1/CP.16.
- Paragraph 6 should indicate primarily that ICA is on the basis of biennial reports, but then clarify that reports submitted biennial include the biennial reports as part of national communications and the update reports submitted in intervening years: “ICA will be conducted biennially for each Party other than LDCs and SIDs based on the biennial reports of developing country Parties, both biennial reports that [coincide with] are submitted as sub-sets of the 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.”
- Paragraph 7(b) should also follow 1/CP.16, which calls for ICA to apply to all mitigation actions: “Information on mitigation actions, their effects and associated methodologies and assumptions, including actions listed in FCCC/AWGLCA/2011/INF.1 for those Parties that have communicated them to the Secretariat;”
- Paragraph 7(c): the word “progress” should replace “status” to follow the language from 1/CP.16.
- Paragraph 7(d) contains an unbracketed addition to the information agreed in 1/CP.16, paragraph 64 (“including support received for it”). Please bracket this new text.
- Paragraph 15 – The timing proposed here is linked to the COP, rather than completion of the analysis step and entry into the consultations steps. Perhaps more clear language here would be: “The experts should complete their draft analysis report six months after the experts are assembled by the Secretariat. They should then share their draft with the Party concerned for review and comment over the following month, in order to respond to or incorporate Party comments. The final analysis report should then be made available on the Secretariat website.”

- It is not clear what the additional language in the title of the section on international consultations, means. Moreover, it seems to presuppose non-SBI action. The title should be concise and clear, as such: “B. International consultations”
- Paragraph 17 – consultations under the SBI should be open to both Parties and observers, in order to be truly transparent: “Following completion of the expert analysis report, a working group established by the SBI open to all Parties and observers”

October 20, 2011

Submission of the United States of America

Agenda item 3.2.2 - Possible elements of draft decision for adoption of the guidelines for biennial reports of developing country Parties

Comments to be included in the draft text are included below by section:

- One principal comment that should be reflected throughout the text is the deletion of the word “update” when referring to biennial reports. In Cancun Parties agreed to submission of biennial reports, a biennial report coinciding with the full national communication, and a biennial update report in the intervening years. These guidelines should apply consistently across reporting, and guide the preparation of information for all biennial reporting. Therefore, the guidelines themselves should be titled “Guidelines for Biennial Reports”, and the word “update” should be bracketed wherever it appears.

Section I. Possible elements of draft decision for adoption of guidelines for biennial reports from developing country Parties

- Insert new paragraph before paragraph 1: “Adoption of the guidelines as contained in an annex to this decision.”
- Delete paragraph 4 – the frequency of submission has already been agreed, given that the name of the report clearly indicates that the frequency of submission is biennial, once every two years.
- Insert new paragraph after paragraph 6: “Decision to revise the guidelines to reflect the experience with reporting and review and of any further reporting requirements no later than [].”
- Insert new paragraph after the above paragraph: “Decision that the SBI will revise the national communication guidelines to include the annexed guidelines for biennial reports, as a standalone element within the national communications, to ensure consistency in reporting, for adoption at COP18.”

I. Introduction

- Paragraph 2: There are significant flexibilities built in to the various provisions of the biennial report guidelines which will account for the range of different capabilities of Parties implementing these guidelines, including many non-mandatory elements and through use of the IPCC guidelines which incorporate a flexible, tiered approach. Some elements of the guidelines should, however, be mandatory. Therefore this paragraph, which would allow for Parties to use absolute discretion in implementing these guidelines, is not appropriate or necessary, and we would support its deletion.
- Paragraph 4 - The scope of biennial reports is the elements described in 1/CP.16 paragraphs 60(c) and 64, so this paragraph should be edited as follows: “The scope of biennial reports is to provide information in the following areas:
- Paragraph 4(b) should be revised to more accurately reflect paragraph 64, as follows: “Information on mitigation actions, including a description, analysis of impacts, and associated methodologies and assumptions, and progress in implementation,” This would enable deletion of paragraph 4(c).

II. National greenhouse gas inventory

- Paragraph 5: All Parties that submit a biennial report must include a national GHG inventory. The national inventory guidelines published by the IPCC have built in considerations of capacity, including various tiers to account for Parties with limited capacity, so the following language is not appropriate to include here and should be deleted: “to the extent [of the provision of funds from developed country Parties], and its capacities permit.”
- Paragraph 6: This paragraph should make clear the year for which all Parties should submit inventory data for each biennial report. A formulation of N-2 or 3 allows for subsequent biennial reports to provide guidance beyond a single year (as in 2010). For additional flexibility, Parties with less than 1.0% of global emissions should submit a year at their discretion for the first biennial report, but no more than N-4 or 5, and should submit N-2 or 3 in subsequent biennial reports.
- In paragraphs 7 and 8, the word “should” should be replaced with “shall.”
- Paragraph 9: All Parties must use the IPCC guidelines and Good Practice Guidance as a mandatory element,” though flexibility is shown in allowing for some Parties to continue using 1996 guidelines. This paragraph should be combined with paragraphs 12 and 13 to form a single paragraph that reads: “Non-Annex I Parties shall use the IPCC Guidelines and 2000 and 2003 Good Practice Guidance for estimating and reporting their updated national GHG inventories.”
- Paragraph 14 – this was required by paragraph 60(c) of Decision 1/CP.16 and so should be a mandatory element, with “shall” instead of “should.”
- Paragraph 15 should be amended to read; “Non-annex I Parties are encouraged to use the 2006 IPCC Guidelines.”
- It seems that paragraphs 16-23 would all be covered if a Party uses IPCC guidelines and UNFCCC reporting tools. It seems unnecessary to include this language, but if it is included we would suggest it be edited as below.
- Paragraph 18 should be amended to read: “Each non-Annex I Party, depending on its capacity and the significance of a gas should also provide in its national inventory, on a gas-by-gas basis and in units of mass, estimates on the following greenhouse gases: perfluorocarbons (PFCs) hydrofluorocarbons (HFCs) and sulphur hexafluoride (SF₆).
- Paragraph 21 may be deleted as its content is included in paragraph 14.
- Paragraph 22: All Parties currently must collect the information necessary for filling in the IPCC sectoral tables (or the UNFCCC inventory software tool tables) for completing their current national inventories as part of national communications. This tabular information must be included in biennial reports in order to provide enough of the underlying information to understand the emissions inventory. It requires no additional effort on the part of the country to report this information once it is collected domestically. This paragraph should make clear that reporting using the full set of IPCC sectoral tables (or UNFCCC reporting software tables) is a mandatory element, as follows: “Non-Annex I

Parties shall include in their biennial update reports the inventory sectoral tables and worksheets of the IPCC, in electronic format.”

III. Mitigation actions

- We have a very strong preference for Option 1. Option 2 reverts back to antiquated and insufficient language from the national communications guidelines that are over a decade old. It does not contain the key elements we agreed to in 1/CP.16 and so is not a realistic basis for this important section.
- The following elements of paragraph 25 should be mandatory elements (reflected by using “shall” rather than “should”, as they relate directly to the content of 1/CP.16: sub-paragraphs a, b, c, f and g. The other sub-paragraphs could be optional reporting elements and should be contained in a separate paragraph. So, the chapeau to paragraph 25 should read: “For each mitigation action or suite of mitigation actions, including those actions contained in document FCCC/AWGLCA/2011/INF.1, non-Annex I Parties shall provide the following:”
- Paragraph 25(a): “Name and description of the mitigation action, including up-to-date information on the nature of the action, [base year] [start date and time frame], coverage (i.e. sectors and gases), quantitative goals and progress indicators, including a description of any parameter against which emissions are indexed (such as BAU or GDP);
- Paragraph (b) should be amended to read: “Objectives of the action and specific policies and measures to achieve that action;”
- Paragraph (c) should be revised to slightly to read: “Up-to-date information on the progress of implementation of the mitigation actions listed in FCCC/AWGLCA/2011/INF.1 and the underlying policies and measures, and the results achieved, such as estimated outcomes (metrics depending on type of action) and estimated emissions reductions, to the extent possible. Highlight whether the policy or measure is in the planning stage or is adopted or whether it is under implementation;
- Paragraph 25(g) should be moved up to follow after paragraph 25(a), as the information contained in each is directly related.

IV. Financial, technological and capacity-building support

- Paragraph 26 – ‘Non-Annex I Parties shall also provide up-to-date information on public financial resources received.’
- Add a Paragraph 27bis – ‘To the extent possible, Non-Annex I Parties should also provide up-to-date information on private finance resources received, including carbon market finance.’

Suggested common reporting formats:

<p>Introduction – include funding priorities, overview of recent support received, modalities for processing/managing support (e.g. via a national climate fund). Could include brief summary table based on tables below</p>									
<p>Financial support - Details on financial support received, broken down by theme – mitigation, adaptation, REDD+</p>									
Financial flows/support	Donor (govt, int'l entity or fund)	Amount (Total USD and in natl currency)	Timeframe	Principle focus of funding (mit, ad, general, etc)	Public finance flows (separate out ODA from OOFs)	Channel (bilat ,multilat)	Private flows (if appropriate)	Specific purpose of funding (.e.g NAMA support, etc)	Proposed outcome
<p>Other support (technology, capacity building) - Technology and capacity building support received, broken down by mitigation, adaptation, REDD+</p>									
Type of support received	Donor (govt, int'l entity or fund)	Timeframe	Principle focus of support (mit, ad, REDD+)	Specific purpose					
<p>Support needs – Descriptive list, specifying type of support (ie, finance, technology, capacity building), sector or cross-cutting, etc</p>									
Activity needing support	Amount needed (USD and natl currency)	Specific type of support requested	Funding amount broken down by preferred type						
		Cash, GBS, tech, training, etc	Loan, grant, in-kind, private, carbon market						

October 20, 2011

Agenda item 3.2.2
Nationally appropriate mitigation actions by developing country Parties
version of 14 October 2011 @ 16.00
Non-paper by the co-facilitators

Comments of the United States of America

Note: Most of our proposals are designed to make the current text track more closely with Decision 1/CP.16. In addition to employing language reflected in that decision, we propose more clearly separating out the two separate sections of the registry identified in paragraphs 53-56 and 58-59 respectively. This would entail moving paragraphs 6 and 7 (which refer to paragraphs 58-59) to a section below those elements that are designed to elaborate paragraphs 53-56.

Registry ~~NOTE:-We think that a decision would be clearer without titles.~~

[Recalling paragraphs 53-59 of Decision 1/CP.16, [in which the Conference of the Parties (COP), through its decision 1/CP.16²³, decided to set up a registry to record nationally appropriate mitigation actions seeking international support, and to facilitate matching of finance, technology and capacity-building support for these actions, and to record information submitted by Parties for the purpose of recognition in a separate section of the registry.] ~~The COP also decided to recognize mitigation actions of developing country Parties.~~

1. ~~Decides that the registry will be developed as a dynamic, user friendly web-based searchable platform for the purpose of carrying out the functions identified in Decision 1/CP.16. that facilitates matching of support to individual mitigation actions and recognizes recorded nationally appropriate mitigation actions upon request.~~

Option to paragraph 2 above:

~~Given the matching of support function, the Registry should be part of the Financial Mechanism of the Convention and should operate under the Standing Committee on Finance.~~

3. ~~Participation in the registry, including the submission of information to the registry, will be voluntary and will depend on availability of information. This paragraph is not necessary if Parties are "invited" to provide information to the registry, consistent with paragraphs 54 and 55.~~

4. ~~The registry will be structured in a manner that enables the full range of diversity of nationally appropriate mitigation actions to be reflected. This paragraph is unnecessary if the categories indicated in paragraph 55 are followed.~~

I. Functions of the registry

A. Recording

2. ~~R~~One part of the registry will record information provided by Parties on Requests the Secretariat, pursuant to paragraph 56 of decision 1/CP.16, to record and regularly update in the registry information provided by the Parties on:

²³ Decision 1/CP.16, paragraph 53

- (a) Individual nationally appropriate mitigation actions seeking international support;
- (b) Support available from developed country Parties for these actions;
- (c) Support provided for individual nationally appropriate mitigation actions.

~~6. Subsequent to matching of support with actions, the registry will record both supported mitigation actions and associated support.~~

~~7. A separate part of the registry will record the following information on [domestically funded] [domestically funded and internationally supported] mitigation actions submitted by developing country Parties for the purpose of their recognition, upon the request by developing country Parties:~~

- ~~(a) A description of the mitigation action;~~
- ~~(b) Estimate cost of the mitigation action;~~
- ~~(c) Estimated emission reductions outcome and other indicators;~~
- ~~(d) Anticipated time frame for implementation;~~
- ~~(e) Co-benefits to local sustainable development, if information exists.~~

~~8. Developing country Parties are also invited to communicate their mitigation actions as per paragraphs 59 (a), (b) and (c) of decision 1/CP.16 through the secretariat. The secretariat will regularly update document FCCC/AWGLCA/2011/INF.1 on this basis.~~

~~NOTE: We suggest moving paragraphs 6 and 7 further down in the decision.~~

9. The secretariat will support implementation of the above functions of the registry.

NOTE:-Propose to move below.

B. Facilitate matching of actions with support

~~10. The registry will facilitate matching of action with support through provision of information on nationally appropriate mitigation actions seeking support and information on support available. It will be able to connect proponents of mitigation actions and potential sources of support via a simple, searchable web-based platform that lists mitigation actions seeking support as well as support available. This paragraph duplicates paragraphs above.~~

Option to paragraph 10 above:

~~The [Green Climate Fund] [Financial Mechanism] may, in accordance with guidelines to be adopted by the COP, disburse funds for implementation of individual mitigation actions submitted to the registry. The registry will generate reports, as per information on nationally appropriate mitigation actions seeking support submitted by developing country Parties, to facilitate matching of support.]~~

~~11. For the function of facilitating matching of support with action, the following information on action and support [will be needed] may be provided:~~

1. Information on action

~~3. Invites developing country Parties [will] [are invited to] to submit through the secretariat the following information, as appropriate, on individual nationally appropriate mitigation actions seeking international support:~~

- (a) A description of the mitigation action;
 - (h) A description of the anticipated implementing agency, including contact information.
 - (b) Estimated [~~incremental~~] costs of the mitigation action;
 - (c) Estimated emission [reductions] [~~outcome~~] [~~the mitigation result~~] or other indicators of implementation] [~~based on the understanding that the commitment is to implement the action and not to the outcome~~];
 - (d) The expected time frame for implementation;
 - (e) [~~The technology [transfer][requested]] (e) The nature of the support requested;~~
 - ~~(g) Co-benefits for local sustainable development, if information exists;~~
 - ~~(i) a description of the anticipated implementing agency~~
13. ~~Developing country Parties may also submit information on their mitigation actions/goals if they wish.~~

~~2. Information on support~~

4. ~~Invites D~~ developed country Parties and other sources of funding [~~will~~] [~~are invited to~~] to submit through the secretariat the following information, as appropriate, on support available and provided:
- (a) Name of the source of support;
 - (b) Name of the executing agency or the organization channeling the fund, including contact information;
 - (c) Amount of support available, including information on the currency;
 - (d) Type of ~~finance support~~ (grant, loan, equity investment, capacity building/technical assistance or other);
 - (e) Types of actions that may be supported and eligibility criteria, if applicable;
 - (f) Status of delivery, related future timeframe and individual actions supported;
 - ~~(g) Whether the support available is categorized as official development aid~~
 - ~~(h) Amount contributed by the private sector.~~
5. To maximize opportunities for support, all other potential donors, including bilateral, regional, multilateral, public and private, are encouraged to also submit information on support available to assist developing countries in preparation and implementation of nationally appropriate mitigation actions seeking support.
- [6. Information on support submitted to the registry will be organized and presented to create a useful resource describing sources of support according to the thematic areas and geographical areas they support, links to their eligibility criteria and project cycle descriptions, as well as information about projects recently financed.]

7. Requests the secretariat, pursuant to paragraph 59 of decision 1/CP.16, to record in a separate part of the registry, the following information on [~~domestically funded~~] [~~domestically funded and internationally supported~~] mitigation actions submitted by developing country Parties for the purpose of their recognition, upon the request by developing country Parties.

NOTE: This taxonomy "domestically funded" does not exist in Cancun. Actions may be funded by various domestic and international sources and still communicated by Parties to the Conference of the Parties under paragraph 50 and 59(b)..

7bis. Invites developing country Parties to communicate their mitigation actions as per paragraphs 59 (a), (b) and (c) of decision 1/CP.16 through the secretariat, including, inter alia, the following information on their mitigation actions:

- (a) A description of the mitigation action;
- (c) Estimated emission reductions outcome and other indicators;
- (d) Anticipated time-frame for implementation;
- (e) Co-benefits to local sustainable development, if information exists.

8. The secretariat will regularly update document FCCC/AWGLCA/2011/INF.1 for all actions and information submitted pursuant to paragraph 59(a), (b) and (c) of decision 1/CP16.

3. Role of the Secretariat

9. The secretariat will support implementation of the above functions of the registry.

[10. The matching facility of the registry will be maintained by a small team within the Secretariat. The team will provide the following specific functions to support the facilitative aspect of the registry:

- (a) Provide direct support to developing countries who request information and guidance on the available support.
- (b) Act as a liaison between developing countries seeking support and the donors, funds and facilities providing a list of available support..
- (c) Serve as advisors specializing in regions and/or thematic areas, and to respond personally to developing country requests for information and guidance on the available support.]
