



United Nations

FCCC/SBSTA/2013/INF.5



Framework Convention on  
Climate Change

Distr.: General  
23 September 2013

English only

---

## **Subsidiary Body for Scientific and Technological Advice**

**Thirty-ninth session**

**Warsaw, 11–16 November 2013**

Item 11(a) of the provisional agenda

**Methodological issues under the Convention**

**Work programme on the revision of the guidelines for the review of biennial reports and national communications, including national inventory reviews, for developed country Parties**

## **Synthesis report on the submissions from Parties on the revision of review guidelines for developed country Parties**

**Note by the secretariat**

### *Summary*

During its consideration of the work programme on the revision of the guidelines for the review of biennial reports and national communications, as well as the review of national greenhouse gas inventories for developed country Parties, the Subsidiary Body for Scientific and Technological Advice (SBSTA), at its thirty-eighth session, invited Parties to submit additional views on the review guidelines for national communications and biennial reports, and requested the secretariat to prepare a synthesis report on Parties' submissions. This report provides a synthesis based on submissions from six Parties received by 30 August 2013. It includes information on the overall approach to the review, the scope, structure and key elements of the review guidelines, the timing, schedule and format of reviews, and some specific issues related to review guidelines. This report is expected to serve as an input to further discussion at the workshop, to be held from 7 to 9 October 2013, that was mandated by the SBSTA, as well to discussion at SBSTA 39 on the revision of guidelines for the review of biennial reports and national communications.

## Contents

	<i>Paragraphs</i>	<i>Page</i>
I. Introduction .....	1–6	3
A. Background and mandate.....	1–3	3
B. Scope, approach and structure of the report.....	4–5	3
C. Possible action by the Subsidiary Body for Scientific and Technological Advice	6	4
II. Review principles and overall approach.....	7–11	4
III. Scope and objectives of the review guidelines .....	12–15	6
IV. Structure of the review guidelines .....	16–19	6
V. Key elements of the review guidelines.....	20–29	7
A. Key elements of the option with a single set of review guidelines .....	22–27	7
B. Key elements of the option with three sets of individual review guidelines...	28–29	8
VI. Timing/schedule and format of reviews .....	30–33	9
VII. Specific matters regarding the review guidelines.....	34–38	10
A. Identification of problems.....	34	10
B. Role of lead reviewers and of the secretariat .....	35	10
C. Training requirements for biennial report and national communication reviews	36	10
D. Outline of biennial report and national communication review reports.....	37	11
E. Annual report of the Subsidiary Body for Scientific and Technological Advice	38	11
VIII. Agenda of the upcoming technical workshop .....	39–40	11
<b>Annex</b>		
Draft guidelines for the review of information reported under Articles 4 and 12 of the Convention by Parties included in Annex I to the Convention .....		12

# I. Introduction

## A. Background and mandate

1. The Conference of the Parties (COP), by decision 1/CP.16, decided that developed country Parties should, by building on existing reporting and review guidelines, processes and experiences, enhance reporting in national communications (NCs) and submit biennial reports (BRs) that outline the progress made in achieving emission reductions and the provision of financial, technological and capacity-building support to Parties not included in Annex I to the Convention (non-Annex I Parties). The COP also decided on a work programme covering, inter alia, the revision of guidelines for the review of NCs, including BRs, annual greenhouse gas (GHG) inventories and national inventory systems.

2. At its thirty-seventh session, the Subsidiary Body for Scientific and Technological Advice (SBSTA) adopted the work programme on the revision of the guidelines for the review of BRs and NCs, including national inventory reviews, for developed country Parties (hereinafter referred to as the review guidelines), in accordance with decision 2/CP.17, paragraph 28.<sup>1</sup> According to the work programme, the revision of the review guidelines for NCs and BRs will be completed by COP 19,<sup>2</sup> while the revision of the review guidelines for GHG inventories will be completed by COP 20. Moreover, the SBSTA, in accordance with the work programme, invited Parties to submit additional views on the overall approach to, and the structure, outline, key elements and content of, the review guidelines for NCs and BRs by 15 July 2013, and requested the secretariat to prepare a synthesis report and draft revised review guidelines for NCs and BRs based on Party submissions, by 15 September 2013.

3. SBSTA 38 continued its consideration of this work programme. The SBSTA invited Parties to submit additional views on, inter alia, the scope, structure, timing, outline and publication of the review reports and specific views on key elements, content and proposed texts of the review guidelines for NCs and BRs. A synthesis report on Parties' submissions will be prepared by the secretariat as an input to the discussion at the workshop on the revision of the review guidelines, to be held from 7 to 9 October 2013 in Bonn, Germany, and at SBSTA 39.

## B. Scope, approach and structure of the report

4. This report synthesizes views on the overall approach and views on the structure, outline, key elements and content of the review guidelines contained in six submissions received from Parties (China; Japan; Liechtenstein; Lithuania and the European Commission on behalf of the European Union and its member States; New Zealand; and the United States). The main body of the report therefore contains a summary of the key points and elements raised by Parties in their submissions. As some Parties also proposed draft text and key elements of the review guidelines in their submissions, a consolidated draft of the review guidelines based on these submissions is included in the annex to serve as input for discussion at the technical workshop to be held from 7 to 9 October 2013. The approaches and options proposed by Parties in their submissions are transparently

---

<sup>1</sup> FCCC/SBSTA/2012/5, paragraph 77.

<sup>2</sup> According to decision 2/CP.17, paragraphs 13 and 14, and decision 9/CP.16, paragraph 5, developed country Parties shall submit their first BR and sixth NC by 1 January 2014. Submission of these reports will trigger an expert review of these reports as part of the international assessment and review process.

presented. When the views by Parties expressed in their submissions differ, these are captured in brackets in the draft review guidelines contained in the annex to this report.

5. This report is structured as follows: chapter I provides the background, mandate, scope, approach and structure of the report; chapter II outlines the overall approach to the review, based on Parties submissions; chapter III provides an overview of Parties' opinions on the scope of the review guidelines; chapters IV and V synthesize Parties' views on the structure of the revised review guidelines and the key elements of the review guidelines, respectively; chapter VI discusses the format and timing of various types of reviews that Parties proposed in their submissions; chapter VII outlines specific issues, not covered in the earlier chapters of this synthesis report, which were highlighted by Parties in relation to the content of the review guidelines. The report concludes with chapter VIII, which outlines the agenda, proposed in a submission from a Party, for the first technical workshop, to be held in October 2013. The annex contains the draft review guidelines, which were prepared by the secretariat and are based on Parties' submissions and on existing review guidelines and decisions.

### **C. Possible action by the Subsidiary Body for Scientific and Technological Advice**

6. As mentioned in paragraph 3 above, this synthesis report will be used as input to discussions at the technical workshop to be held from 7 to 9 October 2013 in Bonn. The outcome of the discussion will be summarized in a workshop report, and the draft review guidelines contained in the annex will be revised and updated accordingly. The workshop summary report, together with the revised draft of the review guidelines, will be submitted to SBSTA 39 for further consideration under agenda item 11(a), with the hope that SBSTA will prepare the review guidelines for NCs and BRs for their adoption by COP 19.

## **II. Review principles and overall approach**

7. All Parties consider that the guiding principle for the revision of review guidelines should be to enhance the efficiency and cost-effectiveness of the reviews. In order to achieve this goal, Parties suggested a number of overall approaches to the review.

8. Most Parties suggested that in order to enhance the efficiency and cost-effectiveness of the reviews, alternative ways of conducting the reviews can be explored, including changes in the format and level of detail regarding the in-depth review of information. To that end, Parties indicated that timing and procedures that are defined in the review guidelines should ensure that the review processes are cost-effective, efficient and practical, and do not impose an excessive burden on the actors involved. Furthermore, one Party suggested that the streamlining and consolidating of reviews for Parties included in Annex I to the Convention (Annex I Parties) should be incorporated into the revised review guidelines. Another Party suggested that the streamlined options considered by the inventory lead reviewers at their tenth meeting<sup>3</sup> could present appropriate ways forward.

9. Parties' submissions reconfirmed the earlier SBSTA 38 conclusion that, in order to improve the efficiency of the review process, when the same information is reported in GHG inventories, NCs and BRs, it should be reviewed in-depth only once. One Party

---

<sup>3</sup> FCCC/SBSTA/2013/INF.2, paragraph 6. Two streamlined options were considered by the inventory lead reviewers at their 10<sup>th</sup> meeting. Streamlined option A suggests a combination of in-country reviews (for 34 Annex I Parties) and centralized reviews (for 10 Annex I Parties) of BRs and NCs, while streamlined option B puts more emphasis on centralized reviews ((in-country reviews for 22 Annex I Parties and centralized reviews for 22 Annex I Parties) of BRs and NCs.

further believes that reviewing the same information only once would avoid conflicting and contradictory conclusions from different review teams with different areas of expertise.

10. To avoid the duplication of the review activities, a number of Parties mapped the common reporting elements required for GHG inventories, BRs and NCs (see table). Based on this mapping exercise, three Parties suggested that when an NC and a BR are submitted at the same time, the individual review of the BR could serve as part of the review of the NC, so that the information that overlaps between the NC and the BR is reviewed only under the BR review (see para. 27 below). Reviewing the same information reported in BR and NC only once has implications for the format and timeline of reviews; they are discussed in detail in chapter V below.

#### Mapping of reporting information in three types of reports

<i>GHG inventories</i>	<i>Biennial report</i>	<i>National communication</i>
		Executive summary
		National circumstances relevant to GHG emissions and removals
GHG inventory	GHG emissions and trends	GHG inventory information
	Quantified economy-wide emission reduction target, and progress in achievement of quantified economy-wide emission reduction targets (markets, LULUCF)	Policies and measures and their effects
	Projections	Projections and total effects of policies and measures
	Financial, technological and capacity-building support to developing countries	Financial resources and transfer of technology
		Vulnerability assessment, climate change impacts and adaptation measures
		Research and systematic observation
		Education, training and public awareness

*Note:* The elements contained all three types of reports are in italics;

*Abbreviations:* GHG = greenhouse gases, LULUCF= land use, land-use change and forestry.

11. In addition to applying the principles and approaches already mentioned above, one Party suggested that the review guidelines should be developed with a structure that is easy to follow and that covers a range of topics in order to guarantee the comprehensiveness of the review. This Party further suggested that the review process should be developed in

accordance with the principles and provisions of the Convention, with a view to implementing all related COP decisions.

### III. Scope and objectives of the review guidelines

12. Parties share common views on the **objectives of the review**, which are to provide a thorough, objective and comprehensive technical assessment of all aspects of the implementation of the Convention by Annex I Parties, building on the existing review processes in place under the Convention. Parties also elaborated on the importance of the review process in providing consistent, transparent, comparable, accurate and complete information on the progress of Annex I Parties in meeting the goals of the Convention.

13. However, Parties' views differ in regard to the **scope of the review guidelines**, especially the review guidelines for BRs. While a number of Parties are of the view that the review guidelines for BRs should only address the technical review of BRs, some Parties consider that the BR review guidelines should include both stages of the international assessment and review (IAR) process, namely technical review and multilateral assessment. One group of Parties further implied that there is no need to develop review guidelines for BRs, since aspects of the BR review are already covered by the IAR modalities and procedures listed in decision 2/CP.17 (see para. 18 below). On the other hand, all Parties agree that it is necessary to develop review guidelines for NCs.

14. One Party among the proponents of inclusion of a multilateral assessment component in the BR review guidelines specifically noted that the review process is a crucial component of the measurement, reporting and verification system requested by the Convention and further elaborated by the Bali Action Plan (decision 1/CP.13). This Party emphasized the importance of the review in the multilateral assessment process,<sup>4</sup> the objective of which is ensuring accurate accounting of quantified economy-wide emission reduction targets of Annex I Parties and the delivery of their committed financial, technological and capacity-building support to developing countries.

15. Differences in the views on the scope of the review guidelines, for BRs in particular, can also be found as concerns the structure of the review guidelines. This the focus of discussion in the next chapter.

### IV. Structure of the review guidelines

16. According to their submissions, most Parties maintain the views they expressed at SBSTA 38: there should only be one set of review guidelines. On the other hand, one Party holds the view that three sets of individual review guidelines should be developed.

17. According to Parties in favour of a single set of guidelines, the structure of the review guidelines under Article 8 of the Kyoto Protocol<sup>5</sup> could be used as an example in the preparation of the draft text of the review guidelines. Draft review guidelines proposed in the submissions of two Parties follow that structure. In them, common elements are addressed together in an overarching section, followed by three additional sections that describe the specific requirements for the review of GHG inventories<sup>6</sup>, BRs and NCs. These

---

<sup>4</sup> Even so, this Party believes that the review of BRs should encompass both the technical review of BRs and the multilateral assessment.

<sup>5</sup> Annex to decision 22/CMP.1.

<sup>6</sup> In the proposed texts, there is a placeholder for the chapter on GHG inventory reviews, as the revised review guidelines on GHG inventories will be discussed and adopted in 2014. They will be based on the work programme on the revision of review guidelines agreed at SBSTA 37.

Parties noted that having the revised review guidelines in a single document helps to avoid unnecessary duplication of information and ensure consistency in review elements common to the three review processes.

18. However, among Parties that prefer a single set of review guidelines, one group of Parties pointed out that the IAR modalities and procedures for BRs, defined in decision 2/CP.17, already cover aspects of the BR review. This implies that there is no need to include a separate section on the review of BRs in the review guidelines, which already contain sections on the review of GHG inventories and NCs, despite the agreement by Parties that the SBSTA work programme on the revision of the review guidelines for BRs and NCs would be completed by the end of 2013, at COP 19. This group of Parties indicated that, according to decision 2/CP.17, the modalities and procedures of the IAR process will be revised no later than COP 22, and that it will draw on experience from the first round of the review of BRs. Hence, the revision of the review guidelines for BRs should follow this timeline.

19. The Party in favour of three sets of individual review guidelines highlighted the importance of keeping the review guidelines separate, given the different nature of the three review processes (expert review of NCs, expert review of GHG inventories and IAR of BRs). This Party further explained that the three review processes are different in requirements, content, timelines and targeting objects. In its proposed outline for the BR review guidelines, this Party included both the technical review and the multilateral assessment components. In its view, a combination of review processes would be inappropriate as it would result in a complicated structure and procedure and would weaken the review requirements for Annex I Parties and affect the quality of the review.

## **V. Key elements of the review guidelines**

20. Parties elaborated on the key elements of the review guidelines either in the main text of their submissions or in the annexes thereto. The annexes feature proposals of the text of the review guidelines. An overview and brief summary of these key elements are provided in this chapter of the synthesis report. The details are provided in its annex, which contains a consolidated draft of the review guidelines based on Parties' submissions.

21. The key elements of the review guidelines are summarized here separately for the option with a single set of review guidelines and the option with three sets of individual guidelines, as the key elements differ according to the structure of the review guidelines (see para. 16 above).

### **A. Key elements of the option with a single set of review guidelines**

22. According to Parties in favour of a single set of review guidelines, the review guidelines should include four parts. Part I outlines the general approach to the review; part II outlines specific requirements for the review of annual inventories; part III outlines specific requirements for the review of BRs; and part IV outlines specific requirements for the review of NCs. The paragraphs that follow discuss the key elements in the order of these four parts, which are embodied in a single set of review guidelines.

23. Based on Parties' submissions, the overarching section of part I of the proposed draft review guidelines (called by Parties in their submissions 'the general approach to review' or 'the general aspects of reviews') is to address elements that are common to the reviews of all three reports. Parties largely agree that this section could mainly include the following key elements:

- (a) The objectives of the review;
- (b) The general approach to the review;
- (c) Timing and procedures of the review, including its frequency and format;
- (d) Expert review teams and institutional arrangements for reviews, such as the competences and composition of the expert review teams, and the role of lead reviewers, the secretariat and the ad hoc review experts;
- (e) Reporting and publication of review reports.

24. Regarding these key elements, Parties' views largely converge on the expert review teams and institutional arrangements, as well as on the reporting and publication of review reports. However, there is divergence in the views on the timing and procedures of the review. More information on these elements can be found in the consolidated draft review guidelines, in the annex.

25. In their submissions, Parties indicated that details of the review guidelines for GHG inventories (part II of the proposed draft review guidelines text) will be developed in 2014. That is in line with the SBSTA work programme on the revision of review guidelines adopted at its thirty-seventh session. Hence, for the time being, there is a placeholder for part II in the annex to this report.

26. In general, Parties share similar views on the section on the review guidelines for BRs: the purpose of the review guidelines, general procedures of review, scope of review, timing and reporting. However, Parties' views diverge on the procedures and scope of BR reviews. While some Parties are of the view that the BR review guidelines should address only the technical review of BRs, one Party suggested that the BR review procedure should include both the technical review of BRs and the multilateral assessment of the Parties' progress in implementation towards the achievement of emission reductions and removals related to their quantified economy-wide emission reduction targets. However, this Party did not include any procedures for multilateral assessment in its text of proposed draft review guidelines. One group of Parties further indicated in its submission that there is no need to include a separate section on the review of BRs in the review guidelines (see para. 18 above).

27. In regard to the section on the review guidelines for NCs, Parties largely agree that it should include the purpose of the review, general procedures of the review, scope of the review, timing and reporting. A number of Parties suggested that the scope of NC reviews should cover only those parts that are not included in the review of GHG inventories and BRs (see para. 10 above). One Party further suggested the inclusion of specific review tasks in the scope of the NC reviews, similar to those mentioned in decision 2/CP.1. These specific review tasks include the review of key qualitative information and quantitative data points contained in NCs, the review of policies and measures, etc. (see para. 77 of the annex to this synthesis report for details).

## **B. Key elements of the option with three sets of individual review guidelines**

28. According to the Party that is in favour of three sets of individual review guidelines, the review guidelines for the NC should entail a description of the review process that consists of three stages: an initial check of the submission by the secretariat, resulting in a status report; an in-depth review by an international expert review team; and the publication of the review report by the secretariat. Specifically, this Party suggested that the review guidelines of NCs contain elements of the guideline objectives, the purpose of the review,



the general approach, the initial check, the scope of the review, the expert review team, the review report and timing.

29. This Party is of the view that the review guidelines for BRs should entail a review process that is composed of an in-depth review by an international expert review team and the publication of the review report by the secretariat, followed by a multilateral assessment by Parties under the Subsidiary Body for Implementation (SBI), an assessment report by the secretariat and a final conclusion by the SBI.

## VI. Timing/schedule and format of reviews

30. Parties' views diverge on the timing/schedule and format of reviews. One Party suggested that Annex I Parties should be split into two groups in those years when both BRs and NCs are submitted and reviewed in conjunction, so that the multilateral assessment is carried out in two SBI sessions during one cycle of IAR.<sup>7</sup> According to this Party, one group of Annex I Parties could undergo centralized reviews so that they are ready for multilateral assessment at the first SBI session, which implies the completion of the individual review of BRs and NCs within nine months of their submissions. The other group of Annex I Parties could undergo in-country reviews so that they are ready for the multilateral assessment at the second SBI session, which implies the completion of the individual review of BRs and NCs within 11 months from the due date of their submission. For the next round of combined BR and NC reviews in four years' time, the format of reviews would be changed for each Annex I Party (e.g. those who did in-country reviews during the first round of combined BR and NC reviews will do centralized reviews during the second round). This implies that each Annex I Party would be reviewed in-country every eight years for their BRs and NCs. This Party further suggested that in the years when only BRs are submitted, all BR reviews should be conducted in a centralized manner.

31. On the other hand, one Party is of the view that the in-depth review of NCs and BRs should be conducted through in-country visits, and NC reviews could be conducted in conjunction with the review under the Kyoto Protocol, where relevant. One group of Parties suggested that the individual review of NCs should be completed within one year of their submission. This group of Parties did not explicitly mention the format of NC and BR reviews.

32. Another Party suggested that reviewing BRs at the same time as NCs in the years when they are submitted together will not work effectively owing to the different time frame required for completing the two types of reviews. While the NC review cycle can take up to two years to be completed, the BR review has to be completed within six months of submission to allow time for the multilateral assessment to be completed, which has to happen within a year of submission, and to enable Annex I Parties to respond to recommendations before the next BR is compiled and submitted. Given the limited time available for the completion of BR reviews, this Party suggested that all BR reviews be organized in a centralized manner, and that NC reviews be subject to a centralized or in-country review.

33. Yet another Party suggested that both in-country and centralized review formats should be available to Parties under review. According to this Party, the location and format of each review should be determined on the basis of: (a) the preference of the Party under review; and (b) other considerations, including the number of reviews scheduled in a given year, the availability of resources and expert reviewers. This Party believes that Party

---

<sup>7</sup> Each round of IAR takes about two years. For the first round of IAR, the two SBI sessions could take place in December 2014 and June 2015.

preference should take precedence over other considerations. A different Party maintains the view that the review format should be based on the level of GHG emissions.<sup>8</sup>

## **VII. Specific matters regarding the review guidelines**

### **A. Identification of problems**

34. A number of Parties suggested that the review guidelines include the identification of potential issues or problems relating to the fulfilment of reporting requirements and/or commitments, as well as issues identified by expert review teams in relation to the transparency and completeness of reported information and the timely submission of reports. However, one Party emphasized that the mandate for the technical review of BRs<sup>9</sup> does not include identifying potential issues in the fulfilment of a Party's target. This Party further stated that no prejudicial judgements, potential issues or factors influencing the fulfilment of targets should be included in the review report.

### **B. Role of lead reviewers and of the secretariat**

35. A number of Parties suggested specifying the role of lead reviewers in review guidelines for BRs and NCs, and not just in those for GHG inventories. They also suggested that existing institutional arrangements, such as meetings of lead reviewers for GHG inventory reviews, be extended to also cover BR and NC reviews. They should, for example, cover the lead reviewers' role in ensuring that reviews are performed according to the review guidelines and consistently for all Parties, with concern for the quality and objectivity of the reviews, the facilitation of continuity and the comparability and timeliness of reviews (see paras. 34–41 of the annex). Some Parties further called for enhancing the role of the secretariat in preparing technical review reports and in taking over some of the responsibilities of lead reviewers envisaged under the Convention for GHG inventory reviews (see paras. 44–50 of the annex).

### **C. Training requirements for biennial report and national communication reviews**

36. In their submissions, a number of Parties noted the importance of providing training to experts participating not only in GHG inventory reviews but also BR and NC reviews, so as to ensure the competence of the expert review teams. According to these Parties, the training to be provided to experts should be designed and operationalized in accordance with relevant decisions of the COP. Also, there should be a subsequent assessment of the knowledge acquired after the completion of the training for experts, for example in 2014, to ensure the necessary competence of experts for participation in expert review teams. More specifically, some Parties suggested that the secretariat develop training procedures, provide training materials to all reviewers and carry out training activities for review

---

<sup>8</sup> This Party refers to their earlier submission contained in FCCC/SBSTA/2012/MISC.17, in which it suggested that centralized reviews be conducted for small-scale economies with GHG emissions of less than 50 million tonnes of carbon dioxide equivalent (excluding land use, land-use change and forestry).

<sup>9</sup> This Party suggested that the information that overlaps between a NC and a BR be reviewed in the context of BR reviews.

experts. One Party further suggested that lead reviewers be offered additional training to enhance skills relevant to lead reviewers.

#### **D. Outline of biennial report and national communication review reports**

37. One Party submitted a proposal of separate outlines for the review reports of BRs and NCs, which are included as attachments to its proposed text on the review guidelines. These outlines broadly follow the structure of the reporting guidelines for BRs and NCs. This implies separate review reports for BRs and NCs, despite overlapping information identified through the mapping exercise (see para. 10 above).

#### **E. Annual report of the Subsidiary Body for Scientific and Technological Advice**

38. Some Parties suggested that the secretariat prepare an annual report to the SBSTA on the selection of the expert review teams and coordination of the reviews not only for GHG inventories (as with the current practice), but also for BRs and NCs. Subsequently, the SBSTA could provide general guidance on the selection and coordination of the expert review teams and on the review process.

### **VIII. Agenda of the upcoming technical workshop**

39. One Party shared its views on the agenda of the upcoming technical workshop, to be held in Bonn from 7 to 9 October 2013. According to this Party, the workshop should focus on mapping information requirements contained in the BR and NC reporting guidelines, in order to identify overlapping reporting requirements and unique information.

40. Based on this mapping exercise, this Party suggested the following sequence of topics be discussed at the workshop:

- (a) Development of common elements related to the overall objectives, timing and procedures, expert review teams and institutional arrangements, and reporting and publication;
- (b) Development of detailed guidelines for review of BRs;
- (c) Revision and updating of guidelines for review of NCs;
- (d) Overall structure of the consolidated review guidelines.

## Annex

*Option 1 for the review guidelines: this option envisages a single set of guidelines with an overarching section, followed by sections on specific guidelines for each of the three types of report.*

### **Draft guidelines for the review of information reported under Articles 4 and 12 of the Convention by Parties included in Annex I to the Convention**

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

##### **A. Applicability (JPN, NZ)**

1. Each Party included in Annex I to the Convention (Annex I Party) will be subject to a review of the information submitted by it under Articles 4 and 12 of the Convention and pursuant to relevant decisions of the Conference of the Parties (COP), in accordance with the provisions of these guidelines.

##### **B. Objectives (EU, JPN, NZ)**

2. The objectives of the review of information submitted under Articles 4 and 12 of the Convention and pursuant to other relevant decisions of the COP are:

(a) To provide, in a facilitative, non-confrontational, open and transparent manner, a thorough, objective and comprehensive technical assessment of all aspects of the implementation of the Convention by individual Annex I Parties and Annex I Parties as a whole;

(b) To promote the provision of consistent, transparent, comparable, accurate and complete information by Annex I Parties;

(c) To assist Annex I Parties in improving their reporting of information under Articles 4 and 12 of the Convention and pursuant to other relevant decisions of the COP and the implementation of their commitments under the Convention;

(d) To ensure that the COP has accurate, consistent and relevant information in order to review the implementation of the Convention.

##### **C. General approach (EU, JPN, NZ)**

3. The provisions of these guidelines shall apply to the review of information submitted by Annex I Parties under Articles 4 and 12 of the Convention and pursuant to other relevant decisions of the COP.

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

5. The ERTs shall provide a thorough and comprehensive technical assessment of all aspects of the implementation of the Convention by Annex I Parties [and identify any potential issues and factors influencing the fulfilment of their commitments and reporting

requirements]. (EU, NZ) The ERTs shall conduct technical reviews to provide information expeditiously to the COP in accordance with the procedures detailed in these guidelines.

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

7. The Annex I Parties under review should provide the ERTs with access to the information necessary to substantiate and clarify the implementation of their commitments under the Convention, in accordance with the relevant guidelines adopted by the COP, and, during in-country visits, should also provide appropriate working facilities. The Parties should make every reasonable effort to respond to all questions and requests of the ERTs for additional clarifying information relating to identified issues and [resolve] (NZ) [correct] (JPN) any issues within the time limits set out in these guidelines.

#### Confidentiality (JPN, NZ)

8. In response to a request from the ERT for additional data or information, or access to data used in the preparation of the inventory, an Annex I Party may indicate whether such information and data are confidential. In such a case, the Party should provide the basis for protecting such information, including any domestic law, and, upon receipt of assurance that the data will be maintained as confidential by the ERT, shall submit the confidential data in accordance with domestic law and in a manner that allows the ERT access to sufficient information and data for the assessment of conformity with the Intergovernmental Panel on Climate Change (IPCC) guidelines as elaborated by the IPCC Good Practice Guidance and Uncertainty Management in National Greenhouse Gas Inventories and any good practice guidance adopted by the COP. Any confidential information and data submitted by a Party in accordance with this paragraph shall be maintained as confidential by the ERT, in accordance with any decisions on this matter adopted by the COP.

9. An ERT member's obligation not to disclose confidential information and data submitted by a Party in accordance with paragraph 8 above shall continue after the termination of his or her service on the ERT.

### **D. Timing and procedures (CHN, JPN, LIE, NZ)**

#### **I. Placeholder for annual review (greenhouse gas inventory)**

10. Each GHG inventory report submitted under the Convention by an Annex I Party shall be subject to review, in accordance with part II of these guidelines.

11. Reviews of annual GHG inventory submissions shall be completed no later than one year after the date of their submission. (JPN)

#### **II. [Biennial review] (NZ) [Biennial reports] (JPN)**

12. Each BR submitted under the Convention by an Annex I Party shall be subject to a scheduled review by an ERT, in accordance with part III of these guidelines.

13. A Party's BR shall be reviewed in conjunction with its NC in the years in which both the BR and the NC are submitted.

*Option 1 (paragraphs 14–16) (JPN)*

14. In the years in which the BR is submitted in conjunction with the NC, each BR submitted in accordance with decision 2/CP.17 by an Annex I Party shall be subject to a scheduled in-country review in conjunction with the review of that Party's NC.

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

16. In the years in which the BR is submitted alone, a centralized review will be conducted to review it.

*Option 2 (paragraph 14) (NZ)*

14. Each BR is subject to a centralized review.

*Option 3 (paragraph 14) (CHN)*

14. Each BR is subject to an in-country review.

**III. [Quadrennial review] (NZ) [NCs] (JPN)**

17. Each NC submitted under the Convention by an Annex I Party shall be subject to a scheduled in-country review by an ERT, in accordance with part IV of these guidelines. (CHN)

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

**E. Expert review teams and institutional arrangements (EU, JPN, NZ, US)****I. Expert review teams**

19. Each submission under Articles 4 and 12 of the Convention and pursuant to other relevant decisions of the COP shall be assigned to a single ERT, which shall be responsible for performing the review thereof in accordance with the procedures and time frames established in these guidelines. The submissions of an Annex I Party shall not be reviewed in two successive review years by an ERT with identical composition.

20. Each ERT shall provide a thorough and comprehensive technical assessment of the information submitted under Articles 4 and 12 of the Convention and pursuant to other relevant decisions of the COP and shall, under its collective responsibility, prepare a review report, assessing the implementation of the commitments of the Annex I Party [and identifying any [potential] (NZ) issues and factors influencing the fulfilment of its [commitments and] reporting requirements]. (EU, JPN, NZ) The ERTs shall refrain from making any political judgement.

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

Party under review and the different needs for expertise for each review task. Additional experts may be added to a review team where necessary.

22. Participating experts shall serve in their personal capacity.

23. Experts shall be nominated by Parties to the Convention to the UNFCCC roster of experts and, as appropriate, by intergovernmental organizations, in accordance with relevant guidance provided by the COP.

24. Participating experts shall have recognized competence in the areas to be reviewed in accordance with these guidelines. The training to be provided to the experts, and the subsequent assessment after the completion of the training<sup>1</sup> and/or any other means needed to ensure the necessary competence of the experts for their participation in ERTs, shall be designed and operationalized by the secretariat in accordance with relevant decisions of the COP. (JPN, NZ, US)

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

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

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

## II. Competences of the expert review teams

28. The competences required to be a member of an ERT for the review of GHG inventories are in the areas referred to in paragraphs XX below in part II of these guidelines.

29. The competences required to be a member of an ERT for the technical review of BRs are in the areas referred to in paragraph 61 below in part III of these guidelines.

30. The competences required to be a member of an ERT for the in-depth review of NCs are in the areas referred to in paragraph 78(b) below in part IV of these guidelines.

## III. Composition of the expert review teams

31. The secretariat shall select the members of the ERTs to review the [annual and biennial information] (NZ) GHG inventories, BRs and NCs submitted under Articles 4 and 12 of the Convention and pursuant to other relevant decisions of the COP in such a way that the collective skills of the ERTs address the areas mentioned in paragraphs 28, 29 and 30 above, respectively.

32. The secretariat shall select the members of the ERTs with a view to achieving a balance between experts from Annex I and non-Annex I Parties in the overall composition of the ERTs, without compromising the selection criteria referred to in paragraph 31 above. The secretariat shall make every effort to ensure geographical balance among the experts selected from non-Annex I Parties and among those selected from Annex I Parties.

---

<sup>1</sup> The experts that opt not to participate in the training have to undergo a similar assessment successfully to enable them to qualify for participation in ERTs.

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

34. Without compromising the selection criteria referred to in paragraphs 28, 29 and 30 above, the formation of ERTs should ensure, to the extent possible, that at least one member is fluent in the language of the Party under review.

35. The secretariat shall prepare an annual report to the SBSTA on the composition of ERTs, including the selection of experts for the review teams and the lead reviewers, and on the actions taken to ensure the application of the selection criteria referred to in paragraphs 31 and 32 above.

#### IV. Lead reviewers

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

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

38. Lead reviewers may be offered additional training to that referred to in paragraph 24 above to enhance their skills.

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

- (a) [Prepare a brief workplan for the review;] (JPN, NZ)
- (b) Verify that the reviewers have all of the necessary information provided by the secretariat prior to the review;
- (c) Monitor the progress of the review;
- (d) Coordinate the submission of queries of the ERT to the Party under review and coordinate the inclusion of the answers in the review report;
- (e) Provide technical advice to the members of the ERT, if needed;
- (f) Ensure that the review is performed and the review report is prepared in accordance with the relevant guidelines;
- (g) For inventory reviews, verify that the ERT gives priority to individual categories for review in accordance with the relevant guidelines.

40. Lead reviewers shall also collectively prepare an annual report to the SBSTA, containing suggestions on how to improve the quality, efficiency and consistency of the reviews in the light of paragraph 2 above of these guidelines and advice on the standardized data comparisons of inventory information (JPN) referred to in paragraph XX below, in part II of these guidelines.

41. Lead reviewers shall be experts from Parties to the Convention nominated to the UNFCCC roster of experts by Parties, and their collective skills shall address the areas mentioned in paragraphs 28, 29 and 30 above for reviewing GHG inventories, BRs and NCs, respectively.

42. The pool of lead reviewers shall be used on a rotational basis, in order to ensure the continuity and consistency of the review process. The terms of service of lead reviewers for



a given period of service shall be designed and operationalized in accordance with the relevant decisions of the COP. (NZ)

43. Lead reviewers shall fulfil all requirements for the role of experts mentioned in chapter E.I above.

#### V. Ad hoc review experts

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

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

#### VI. Role of the secretariat (EU)

46. The secretariat shall organize the reviews, including [the preparation of a workplan for the review] (NZ), the coordination of the practical arrangements concerning the review and the provision of all relevant reported information to the ERT concerned.

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

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

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

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

51. The secretariat shall prepare an annual report to the SBSTA on the implementation of the reviews.

52. The secretariat shall design and implement training activities for review experts and the subsequent assessment of the experts' qualifications, under the guidance of the SBSTA.

#### VII. Guidance provided by the Subsidiary Body for Scientific and Technological Advice (JPN, NZ)

53. The SBSTA shall provide general guidance to the secretariat on the selection of experts and the coordination of the ERTs, and to the ERTs on the expert review process. The reports mentioned in paragraphs 35 and 40 above are intended to provide the SBSTA with inputs for elaborating such guidance.

#### F. **Reporting and publication** (EU, JPN, NZ, US)

54. The ERTs shall, under their collective responsibility, produce relevant review reports. The review of the same information could be reflected in one report. The following review reports should be produced for each Annex I Party:

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

(b) For the biennial review, a technical report on the review of the BR, in accordance with part III of these guidelines;

(c) For the quadrennial review, a report on the review of the NC, in accordance with part IV of these guidelines.

55. The review reports for each Annex I Party shall follow a format and outline comparable to that set out in [paragraph 56 below] (NZ) [the annex to these guidelines] (JPN) and shall include the specific elements described in parts II–IV of these guidelines.

56. All review reports prepared by ERTs shall use non-confrontational language and include the following elements:

(a) An introduction and a summary;

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

(i) A description of any [potential issues] (NZ) [problems] (EU) identified in accordance with paragraphs 65, 80 and 81 below and factors influencing the fulfilment of commitments and reporting requirements identified during the review;

(ii) Any [suggestions] (NZ) [recommendations] (EU) provided by the ERT to [correct] (JPN) [resolve] (NZ) the [potential issues] (NZ) [identified problems] (EU);

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

(c) Possible suggestions made by the ERT concerning the conduct of the review in subsequent years, including which parts may need to be considered in more depth;

(d) Information on any other issue of concern deemed relevant by the ERT;

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

57. Following their completion, all review reports, including status reports on initial checks of annual inventories, shall be published and forwarded by the secretariat, together with any written comments on the final review report made by the Party under review, to the Party concerned, the COP and the subsidiary bodies, as appropriate, following these guidelines.

58. Final review reports shall be no longer than 20 pages for NCs, 15 pages for BRs and 15 pages for GHG inventories. (JPN)

## **PART II: REVIEW OF ANNUAL INVENTORIES**

*Placeholder for guidelines for the review of greenhouse gas inventories*

## **PART III: REVIEW OF BIENNIAL REPORTS**

*There are two options for part III – option A and option B below*

*Option A for part III (JPN, NZ)*

### **A. Purpose of the review**

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

60. The purposes of the technical review of BRs from Annex I Parties are: (NZ)

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

(b) Taking into account paragraph 60(a) above, to examine in an objective and transparent manner whether quantitative and qualitative information was submitted by Annex I Parties in accordance with the “UNFCCC biennial reporting guidelines for developed country Parties” adopted by the COP;

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

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

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

### **B. General procedures**

61. Each developed country Party’s BR will be reviewed, where relevant in conjunction with the NC review process, which will include: (JPN)

(a) A technical review of the BR, where relevant in conjunction with the review of the Party’s NC, which will result in an individual review report for each developed country Party;

(b) A multilateral assessment of the Party’s progress towards achieving emission reductions and removals related to its quantified economy-wide emission reduction target.

62. Prior to the review, the ERT shall conduct a desk review of the BR of the Annex I Party under review. The ERT shall notify the Party concerned of any questions the team has regarding the BR and of any focal areas for the review. (NZ)

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

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

64. The individual review shall:

- (a) Provide an assessment of the completeness of the BR, in accordance with the reporting requirements contained in decisions 2/CP.17 and 19/CP.18, and an indication of whether it was submitted on time;
- (b) Check the consistency of the BR and NC with the annual GHG inventory;
- (c) Provide a detailed technical review of only those parts of the BR that are not included in the annual review, as well as of the procedures and methodologies used for the preparation of the information therein, such as:
  - (i) All emissions and removals related to the Party's quantified economy-wide emission reduction target; (JPN)
  - (ii) Assumptions, conditions and methodologies related to the attainment of the Party's quantified economy-wide emission reduction target;
  - (iii) Progress the Party has made towards achieving its quantified economy-wide emission reduction target;
  - (iv) The Party's provision of financial, technological and capacity-building support to developing country Parties;
- (d) In the years in which a NC is submitted at the same time as the BR, serve as part of the review of the NC, where there is an overlap between the content of the BR and that of the NC. (NZ)

#### Identification of issues (JPN, NZ)

65. The issues identified during the assessment of individual sections of the BR shall be identified as relating to:

- (a) Transparency;
- (b) Completeness;
- (c) Timeliness.

### **D. Timing**

66. [If an Annex I Party expects difficulties with the timeliness of its BR submission, it should inform the secretariat thereof before the due date of the submission. If the BR is not submitted within six weeks after the due date, the delay shall be brought to the attention of the COP and made public.] (JPN, NZ)

67. The ERTs shall make every effort to complete the individual review of BRs [within six months] (NZ) [within nine months for the group of Annex I Parties undergoing centralized reviews and 11 months for the group of Annex I Parties undergoing in-country reviews<sup>2</sup>] (JPN) of the due date of the BR submission for each Annex I Party.

---

<sup>2</sup> Japan suggests that Annex I Parties should be split into two groups in the years in which both BRs and NCs are submitted and reviewed in conjunction, so that the multilateral assessment can be carried out in two SBI sessions during one IAR cycle. One group of Annex I Parties could undergo centralized reviews, so that they are ready for the multilateral assessment at the first SBI session, which implies the completion of the individual review of BRs and NCs within nine months of the due date of their submission. The other group of Annex I Parties could undergo in-country reviews, so that they are ready for the multilateral assessment at the second SBI session, which implies the

68. If additional information is requested during the review, it should be provided by the Annex I Party concerned within four (NZ) weeks of the request.

69. The ERT for the review of the BR of each Annex I Party shall, under its collective responsibility, produce a draft technical review report following the format detailed [in paragraph 72 below] [in appendix II to these guidelines], to be finalized within [four] (JPN) [eight] (NZ) weeks after the review.

70. Each draft technical review report of the BR will be sent to the Annex I Party subject to the review for comment. The Party concerned shall be given four weeks<sup>3</sup> from its receipt of the draft report to provide comments thereon.

71. The ERT concerned shall produce the final version of the technical review report of the BR, taking into account the Annex I Party's comments, within four weeks of the receipt of the comments. Should the Party and the ERT be unable to agree on the treatment of a comment, the secretariat will ensure that the comments of the Party are incorporated in a separate section of the technical review report of the BR.

### **E. Reporting**

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

- (a) A technical assessment of the elements specified in paragraph 64(c) above;
- (b) An examination of the Party's progress in achieving its economy-wide emission reduction target. (NZ)

73. The secretariat shall produce a report on the compilation and synthesis of BRs from Annex I Parties, in accordance with the relevant decisions of the COP. (JPN)

*Option B for part III – no need for biennial report review guidelines<sup>4</sup> (EU)*

## **PART IV: REVIEW OF NATIONAL COMMUNICATIONS**

### **A. Purpose (EU, JPN, NZ)**

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

- (a) To establish a process for a thorough and comprehensive technical assessment of the implementation of the commitments under the Convention by individual Annex I Parties and Annex I Parties as a group;
- (b) Taking into account paragraph 74(a) above, to examine in an objective and transparent manner whether quantitative and qualitative information was submitted by

---

completion of the individual review of BRs and NCs within 11 months from the due date of their submission.

<sup>3</sup> Four weeks, or 20 working days if the Party has a public holiday occurring within the four-week time frame.

<sup>4</sup> According to the European Union, the review guidelines for BRs should follow the modalities and procedures for IAR (decision 2/CP.17), including the technical review of the information submitted in BRs. Parties have already agreed that the modalities and procedures of the IAR process will be revised no later than in 2016 (COP 22), having gained experience from the first round of reviews. The European Union believes that any revision of the review guidelines for BRs as included in decision 2/CP.17 should follow that agreed timetable.

Annex I Parties in accordance with the “Guidelines for the preparation of NCs by Parties included in Annex I to the Convention, Part II: UNFCCC reporting guidelines on NCs” adopted by the COP;

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

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

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

(f) To assist the COP in carrying out its responsibilities relating to the following tasks: (JPN)

(i) To assess the implementation of the Convention by Parties, the overall effects and cumulative impacts of the measures taken and the extent to which progress towards achieving the objective of the Convention is being made (Article 4, paragraph 2(a) and (b), Article 7, paragraph 2(e), and Article 10, paragraph 2(a), of the Convention);

(ii) To contribute to the review of the adequacy of commitments and to decide on follow-up action (Article 4, paragraph 2(d), and Article 10, paragraph 2(b), of the Convention);

(iii) To examine the obligations of Parties under Articles 4, 5, 6 and 12 of the Convention;

(iv) To examine the institutional arrangements under the Convention;

(v) To promote and guide the development and refinement of methodologies (Article 7, paragraph 2(d), of the Convention) and guidelines to enhance the comparability and focus of further communications;

(vi) To promote and facilitate the exchange of information on measures adopted by Parties (Article 7, paragraph 2(b), of the Convention);

(vii) To assess progress made in achieving emission reductions;

(viii) To assess the provision of financial, technological and capacity-building support to developing country Parties.

## **B. General procedures**

75. Each Annex I Party’s NC will be reviewed, where relevant in conjunction with the BR review process.

76. Each NC submitted under the Convention by an Annex I Party shall be subject to a scheduled centralized or in-country review.

77. Prior to the review, the ERT shall conduct a desk review of the NC of the Annex I Party under review. The ERT shall notify the Party concerned of any questions the team has regarding the NC and of any focal areas for the [centralized review or] (JPN, NZ) in-country visit.

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

78. The individual review shall:

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

(b) Provide a detailed examination of [only those parts of the NC that are not included in the annual or biennial review] (NZ) [each part of the NC] (EU, JPN), as well as of the procedures and methodologies used for the preparation of the information therein, such as:

- (i) National circumstances relevant to GHG emissions and removals;
- (ii) [Policies and measures;]
- (iii) [Projections and the total effect of policies and measures;]
- (iv) Vulnerability assessment, climate change impacts and adaptation measures;
- (v) [Financial resources;]
- (vi) [Transfer of technology;]
- (vii) Research and systematic observation;<sup>5</sup>
- (viii) Education, training and public awareness;

(c) [Giving consideration to national circumstances, identify any [potential issues] (NZ) [problems] (EU) and factors influencing the fulfilment of commitments and reporting requirements related to [those parts] (NZ) [each part] (EU) of the NC.]

79. The review process should undertake six major tasks: (JPN)

- (a) Review key qualitative information and quantitative data points contained in NCs;
- (b) Review policies and measures described in NCs;
- (c) Assess the information contained in NCs regarding the Party’s Convention commitments, and assess the extent to which progress towards achieving the objective of the Convention is being made;
- (d) Describe expected progress in the limitation of emissions by sources and the enhancement of removals by sinks of GHGs, on the basis of information contained in NCs;
- (e) Describe expected progress in cooperation on the preparations for adaptation;
- (f) Aggregate data across NCs with respect to inventories, projections, effects of measures and financial transfers, but without adding up the individual national totals for projections and the effects of measures.

Identification of [issues] (JPN, NZ) [problems] (EU)

80. The issues identified during the assessment of individual sections of the NC shall be identified as relating to:

- (a) Transparency;
- (b) Completeness;
- (c) Timeliness.

---

<sup>5</sup> Information provided under this heading includes a summary of the information provided on global climate observing systems.

81. Only when issues of transparency prevent the ERT from performing the review should this be considered a problem. Failure to submit any section of the NC shall be considered a problem. (EU)

#### **D. Timing**

82. [If an Annex I Party expects difficulties with the timeliness of its NC submission, it should inform the secretariat thereof before the due date of the submission. If the NC is not submitted within six weeks after the due date, the delay shall be brought to the attention of the COP and made public.] (JPN, NZ)

83. The ERTs shall make every effort to complete the individual review of NCs within [one year] (EU) [two years] (NZ) [fifteen months] (JPN) of the due date of their submission for each Annex I Party.

84. If additional information is requested during the review, it should be provided by the Annex I Party [as soon as possible and within two weeks after the review] (EU) [within six weeks of the request] (NZ).

85. The ERT for the review of the NC of each Annex I Party shall, under its collective responsibility, produce a draft of the review report following the format detailed in paragraph 88 below, to be finalized within [eight] (NZ) [four] (EU) weeks after the review.

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

87. The ERT shall produce the final version of the NC review report, taking into account the comments of the Annex I Party within four weeks of receipt of the comments. Should the Party and the ERT be unable to agree on the treatment of a comment, the secretariat will ensure that the comments of the Party are incorporated within a separate section of the review report.

#### **E. Reporting**

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

- (a) A technical assessment of the elements specified in paragraph 78(b) above;
- (b) An identification of issues in accordance with paragraph 78(c) above.

89. The secretariat shall produce a report on the compilation and synthesis of NCs from Annex I Parties, in accordance with the relevant decisions of the COP.

---

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



## **Appendix I**

### **Outline for reports on reviews of individual greenhouse gas inventories from Parties included in Annex I to the Convention (JPN)**

(to be discussed in 2014)

## Appendix II

### **Outline for reports on technical reviews of individual biennial reports from Parties included in Annex I to the Convention (JPN)**

1. Introduction and summary
  - Convention ratification date
  - Date of receipt of BR
  - Dates of review and dates of comment period
  - Members of the expert review team
  - Summary and findings
    - Compliance with guidelines
    - Approach to greenhouse gas mitigation
    - Progress in achievement of quantified economy-wide emission reduction target
    - Expected progress in greenhouse gas mitigation
    - Summary of comments offered by the Party (when not reflected in the text)
2. Information on greenhouse gas emissions and trends
3. Quantified economy-wide emission reduction target
4. Progress in achievement of quantified economy-wide emission reduction target
  - Mitigation actions and their effects
  - Emission reductions and removals and the use of units from the market-based mechanisms and land use, land-use change and forestry activities
5. Projection
  - Implementation of Convention commitments
  - Approaches used
  - Review of key data points
6. Provision of financial, technological and capacity-building support
  - Review of key data points
  - Implementation of Convention commitments

## Appendix III

### **Outline for reports on in-depth reviews of individual NCs from Parties included in Annex I to the Convention (JPN)**

#### 1. Introduction and summary

- Convention ratification date
- Date of receipt of NC
- Dates of review and dates of comment period
- Members of the expert review team
- National circumstances
- Summary and findings
  - Compliance with guidelines
  - Review of key data points
  - Approach to greenhouse gas mitigation
  - Expected progress in greenhouse gas mitigation
  - Approach to adaptation
  - Expected progress in adaptation
  - Implementation of Convention commitments
  - Summary of comments offered by the Party (when not reflected in the text)

#### 2. Information on greenhouse gas emissions and trends

#### 3. Policies and measures

- Implementation of Convention commitments
- Overview of measures by gas, sector and policy instrument
- Effects of individual measures, where possible
- Policies and measures under consideration or requiring international cooperation

#### 4. Projections

- Implementation of Convention commitments
- Approaches used

- Review of key data points
- Projected progress in greenhouse gas mitigation
- 5. Expected impacts of climate change
- 6. Adaptation measures
  - Implementation of Convention commitments
- 7. Provision of financial, technological and capacity-building support
  - Review of key data points
  - Implementation of Convention commitments
- 8. Research and systematic observation
  - Implementation of Convention commitments
- 9. Education, training and public awareness
  - Implementation of Convention commitments

*Option 2 for the review guidelines: this option envisages three sets of guidelines on reviewing GHG inventories, BRs and NCs (CHN)*

## **Part I: UNFCCC guidelines for the technical review of greenhouse gas inventories from Parties included in Annex I to the Convention**

*Placeholder, to be developed in 2014*

## **Part II: UNFCCC guidelines for the technical review of NCs from Parties included in Annex I to the Convention**

- A. Objective
  - The objective of the guidelines
- B. Purpose of the review
  - The purpose of the review
- C. General approach
  - The stages of the review process
  - The relationship of these stages
- D. Initial check
  - Scope
  - Status reports
  - Timing
- E. The scope of the review
  - The scope of the technical review
  - Operational approaches
  - The frequency of the in-country review
- F. The expert review team
  - The tasks of the expert review team
  - The composition of the expert review team
  - The organization of the expert review team
  - Lead reviewers
- G. Review report
  - The preparation of the individual review report
  - Outline of the individual review report
  - The publication of the individual review report
- H. Timing
  - Timing

**Part III: UNFCCC guidelines for the international assessment and review of biennial reports**

- A. Objective
    - The objective of the guidelines
  - B. Purpose of the international assessment and review of BRs
    - The overall objectives of the international assessment and review process
    - The purpose of international assessment and review
  - C. General approach
    - The stages of the international assessment and review process
    - The relationship of these stages
  - D. Technical review
    - The scope of the technical review
    - The adequacy of mitigation targets and comparability of mitigation efforts
    - Operational approaches
    - The frequency of the in-country review
    - The tasks of the expert review team
    - The composition of the expert review team
    - The organization of the expert review team
    - Lead reviewers
    - The publication of the individual review report
    - Outline of the individual review report
    - Timing
  - E. Multilateral assessment
    - The scope of the multilateral assessment
    - The adequacy of mitigation targets and comparability of mitigation efforts
    - Operational approaches
    - The organization of the multilateral assessment
    - The publication of the individual assessment record
    - Outline of the individual assessment record
    - Timing
  - F. Conclusion of the Subsidiary Body for Implementation
    - The preparation and publication of the conclusion of the Subsidiary Body for Implementation
-