Technical Tool To Facilitate Parties Prepare For And Participate In The International Consultation And Analysis

Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention

United Nations
Framework Convention on Climate Change

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TECHNICAL TOOL TO FACILITATE PARTIES PREPARE FOR AND PARTICIPATE IN THE INTERNATIONAL CONSULTATION AND ANALYSIS

United Nations
Framework Convention on
Climate Change

CONTENTS

A. OBJECTIVES OF THE TECHNICAL TOOL

The objectives of this technical tool are to inform Parties and experts on the process related aspects of the international consultation and analysis (ICA) (see table 1) and to facilitate their effective preparation and participation in the process.

The table below lists the key activities and/or process involved in the ICA process, including the technical analysis of biennial update report (BUR) and the facilitative sharing of views (FSV). It also provides an indicative timeline and actors that play a key role for each activity/process.

TABLE 1: SNAPSHOT OF THE COMPLETE ICA PROCESS

Activity/processes	Indicative timeline	Actors
Submission of BUR	-	Party
Confirmation of the technical analysis date	3 – 5 months before the technical analysis week	Secretariat
Composition of the team of technical experts (TTE)	3 – 5 months before the technical analysis week	Secretariat
Technical analysis week	-	
Prepare Draft summary report	Within 3 months from the start of the technical analysis week	TTE, secretariat
Review and comment on the draft summary report	Within 3 months from the receipt of the draft summary report	Party
Incorporate comments and finalize the draft summary report	Within 3 months from the receipt of comments from the Party	TTE, Party
Publish the summary report	Within 1 week after the summary report is finalized	Secretariat
Announce the dates for the facilitative sharing of view (FSV)	Within 3 months before the next session of the Subsidiary Body for the Implementation	Secretariat
Invite other Parties to submit written questions in advance of the FSV session	The period for submitting written questions starts 2 months before the FSV workshop and ends 1 month prior to the FSV	All Parties
Invite Parties undergoing FSV to provide written answers	Within 1 month prior to the FSV session	Parties undergoing FSV
Facilitative sharing of views workshop	-	All Parties
Records of FSV	Within 2-3 months after the FSV workshop	Secretariat

B. INTRODUCTION TO INTERNATIONAL CONSULTATION AND ANALYSIS

B.1. OBJECTIVES AND PRINCIPLES

The Conference of the Parties (COP), at its sixteenth session in 2010 in Cancun, established the process. The ICA is aimed at increasing the transparency of mitigation actions and their effects, through technical analysis of biennial update reports (BURs) from Parties not included in Annex I to the Convention (non-Annex I Parties) by a team of technical experts (TTE) in consultation with the Party concerned, and a facilitative sharing of views in the form of a workshop under the Subsidiary Body for Implementation (SBI). The outcome of the ICA process includes a summary report of the BUR analysis and a record of the (FSV). The BURs are submitted either as a stand-alone report or as a summary of parts of the Party's national communication in the year in which the national communication is submitted.[1]

The ICA is conducted in a manner that is non-intrusive, non-punitive and respectful of national sovereignty, and it does not entail discussion on the appropriateness of domestic policies and measures. It is guided by the following:

- Decision 2/CP.17, paragraphs 39 – 41, and its annex III which contains the "UNFCCC biennial update reporting guidelines for Parties not included in Annex I to the Convention";

[1] *Decision 2/CP.17, paragraph 41(f).*

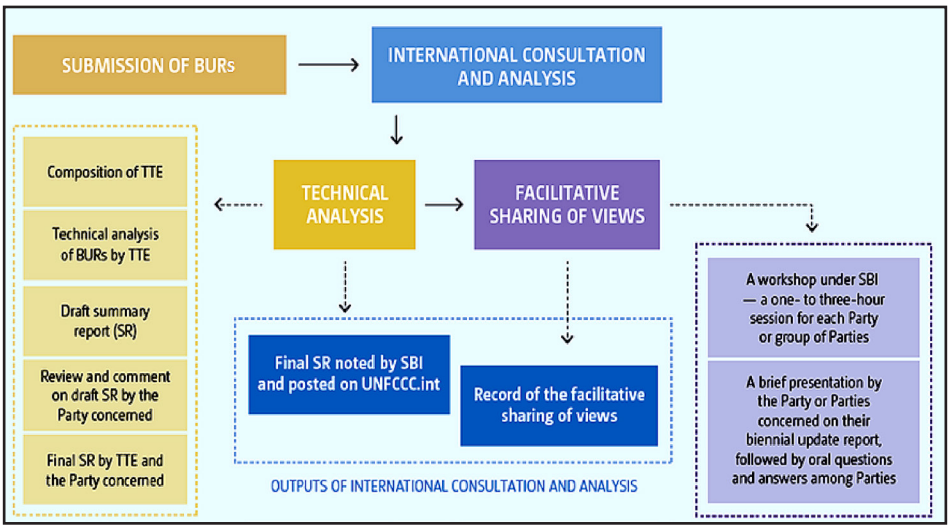
- Decision 2/CP.17, paragraphs 56 – 60, and its annex IV which contains the "Modalities and guidelines for international consultation and analysis";

- Decision 20/CP.19 and its annex which contains the "Composition, modalities and procedures of the team of technical experts under international consultation and analysis".

B.2. PROCESS DETAILS

As illustrated in Figure 1, the ICA process consists of two steps: (1) the technical analysis of BURs by a team of international experts referred to as the team of technical experts (TTE); and (2) a facilitative sharing of views (FSV), in the form of a workshop, under the SBI. Non-Annex I Parties are engaged at various intervals throughout the entire ICA process. The adequate preparation of national experts is critical to facilitate efficiency of the process and the effective participation of Parties.

FIGURE 1: STEPS OF THE INTERNATIONAL CONSULTATION AND ANALYSIS PROCESS



For the first round of the ICA process, the technical analysis of the BUR, as the first step, commences within six months of its submission. This first step results in a summary report capturing the outcomes of the technical analysis.

The Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention (CGE), an expert group under the Convention mandated to provide technical advice and support to developing countries,[2] plays an important role in the technical analysis process. Upon request of the COP, the CGE provides training materials and courses on the preparation of BURs as well as training programmes for nominated technical experts that conduct the BUR analysis.[3] The members of the CGE also participate in the technical analysis of BURs as a part of the TTE. Finally, in the selection of the members of the TTE, the secretariat is guided by the CGE, which provides periodic advice to the secretariat to assist it in fulfilling the criteria in accordance with paragraphs 3 to 5 of annex to decision 20/CP.19.

C. STEP 1 OF THE ICA PROCESS – TECHNICAL ANALYSIS OF BURS

C.1. OBJECTIVE

The technical analysis of BURs under the ICA process aims to increase transparency of mitigation actions and their effects without engaging in discussions on the appropriateness of such actions.

The technical analysis, conducted by a TTE (see chapter C.3.3 below for further details), entails:

- Identifying the extent to which information is included in the BUR;

[2] *Decision 19/CP.19 and its annex.*
[3] *http://unfccc.int/2608.php.*

- Undertaking a technical analysis of information contained in the BUR to determine the transparency of the information reported;

- Identifying, in consultation with the Party concerned, capacity-building needs in order to facilitate: (i) reporting information in accordance with the "UNFCCC biennial update reporting guidelines for Parties not included in Annex I to the Convention, hereinafter referred to as the UNFCCC reporting guidelines on BURs";[4] and (ii) participation in the ICA process.

As indicated above, the technical analysis results in a report which is commonly referred to as the "summary report".

C.2. KEY ACTORS

There are three key actors with distinct roles and responsibilities: *the secretariat; a TTE, including the co-leads; and the Party* whose BUR is undergoing the technical analysis.

It is the collective responsibility of the TTE, under the leadership of the co-leads and with the support of the secretariat, to conduct the technical analysis of BURs, and prepare and finalize, in consultation with the Party concerned, the summary report. The co-leads are two experienced experts, one from a developed country and another from a developing country, selected from the TTE as per decision 20/CP.19, annex, paragraph 5. The roles and responsibilities of these actors are further elaborated as follows:

- Reflecting the participatory nature of the ICA process, the Party is actively engaged throughout the entire process of the technical analysis on three key fronts: (1) engaging in consultation with the TTE to provide additional input that may help further improve the understanding of the information reported in its BUR; (2) engaging with the TTE to identify capacity-building needs; and (3) providing feedback on the draft summary report prepared by the TTE.

- The TTE, composed by the secretariat following criteria contained in paragraphs 3 to 6 of annex to decision 20/CP.19, consists of a group of international experts who serve in their personal capacity to conduct the technical analysis. It gathers in a single location to analyse BURs. The TTE, supported by the secretariat: prepares the draft summary report capturing the results of the technical analysis within three months after the start of the technical analysis and shares it with the Party; the Party reviews the draft and provides its comments within 3 months of receipt of the draft; and the TTE responds to and incorporate the comments, and finalizes the summary report within three months of receipt of the comments.

- The co-leads of the TTE ensure that the team conducts the technical analysis in accordance with the provisions of the relevant decisions and guidelines. Further, the co-leads also provide leadership to the team and ensure overall coordination and functioning of the team, including planning and timely delivery of inputs from the team.

- The secretariat plays a key role in the technical analysis of BURs by coordinating the process, including providing administrative and technical support to the TTE. In addition, the secretariat provides technical and administrative support to the development and delivery of the CGE training programme for experts participating in the BUR technical analysis.

[4] *Decision 2/CP.17, annex III.*

C.3. PROCESS DETAILS

C.3.1. OVERVIEW AND TIMELINE

The modalities and procedural guidance for the ICA process, including the technical analysis, are contained in annex IV to decision 2/CP.17, and decision 20/CP.19 and its annex. The technical analysis of BURs is normally conducted in Bonn, Germany, where a single TTE will analyse one to three BURs over the period of a week, depending on the total number of BURs submitted at that point of time. However, the technical analysis entails a certain amount of preparatory work before and follow-up work after the technical analysis week. In short, as shown in figure 2, the whole process from the submission of the BUR in lead up to the technical analysis week to the publication of the summary report can be viewed in three different stages reflecting the nature of the activities: preparatory stage, technical analysis week and summary report preparation and finalization stage. This classification of different stages of the process are defined for practical reasons without any bearing on the overall timeline defined for the technical analysis in decision 20/CP.19, specifically, the whole process of the technical analysis should be completed within 9 months from the start of the technical analysis week. Further details on the process and the timeline are elaborated in the subsequent sections.

FIGURE 2: GENERAL WORK FLOW OF THE TECHNICAL ANALYSIS OF BURS

From the time of the submission of the BUR, which triggers its technical analysis, to the time of the publication of the summary report, which effectively concludes the technical analysis, it can take up to 15 months depending on the pace of the preparation and finalization of the summary report. In general, the overall timeline of the process runs as follows:

- The technical analysis starts **no later than six months** after the submission of the BUR;
- The TTE completes the draft summary report and shares it with the Party concerned, **no later than three months** after the start of the technical analysis;
- The Party reviews and comments on the draft summary report **within three months** of receipt;
- The TTE responds to and incorporates the comments from the Party and finalizes, in consultation with the Party, the summary report **within three months** of the receipt of the comments.

The summary report, once finalized, is made publicly available on the UNFCCC website. The SBI, at its next session, takes note of the published summary reports.

The timeline outlined above constitutes the maximum boundaries set by the modalities and procedures defined in decision 20/CP.19 and its annex. **However, capacity and circumstances allowing, the TTE and the Party have full flexibility to complete any of these tasks well in advance of the deadlines**.

[5] *Decision 20/CP.19, annex, paragraphs 12–14.*

Further, during the technical analysis the Party may choose to provide additional technical information to the TTE, through the secretariat. This may be in response to the questions/points of clarification raised by the TTE or in the event that the Party concerned, on its own, deems that the provision of additional information may further enhance the transparency of the information already included in the BUR.

If certain information is declared confidential by the Party, the TTE is obliged to protect such confidentiality, and such obligation continues even upon termination of the TTE's services. To that end, every member of the TTE signs an expert services agreement before formalizing their participation as a member of the team which includes, among other things, provisions addressing confidentiality and conflict of interest.

C.3.2. PREPARATORY STAGE

This refers to the period from the time a BUR[6] is submitted by a non-Annex I Party to the technical analysis week (see figure 2 above). This stage mainly relates to establishing contact with the Party concerned, confirming the dates of the technical analysis, planning and mobilizing the resources required to support the technical analysis, composing the TTE, introducing the TTE to the Party, conducting a desk analysis of the BUR by the TTE and communicating the results to the Party, and receiving feedback from the Party on the results of the desk analysis. The sequence of key events and activities that unfold in this stage is as follows:

- Immediately upon submission of the BUR, the secretariat confirms to the Party's national focal point the successful receipt and publication of the BUR on the UNFCCC website;[7]
- Following this, the secretariat identifies the dates for the technical analysis and composes the TTE with experts drawn from the UNFCCC roster of experts on the basis of the criteria defined in decision 20/CP.19, annex, paragraphs 3–6;
- The secretariat then sends a second communication to the national focal point of the Party: (i) conveying the dates of the technical analysis; (ii) introducing the members of the TTE who will be analysing the BUR; (iii) outlining the process of the technical analysis, the time frame for various tasks and what is expected of the Party; and (iv) requesting the Party to designate national expert(s) as technical contact(s) to liaise with the TTE, through the secretariat, on all follow-up matters regarding the technical analysis;
- Around four to eight weeks prior to the technical analysis week, the TTE, led by the co-leads, initiates the desk (preliminary) analysis of the BUR;
- It is likely that the TTE may find some aspects of the information reported in the BUR that could benefit from further technical clarification(s) by the Party. In such cases, the TTE, through the secretariat, will seek technical clarification(s) from the Party, at least three weeks before the technical analysis week. This enables a better understanding of the information reported in the BUR and is facilitated by a thematic checklist, which is further elaborated in chapter C.4.2 below.

Technical advice to the national focal point to facilitate smooth and efficient preparation and participation in the pre-technical analysis phase

1. Upon receiving the communication from the secretariat, immediately identify and designate national expert(s) as the technical contact(s) with the mandate to engage with the secretariat and the TTE on matters relating to the technical analysis.
2. To the extent possible, the technical contact(s) should have a good overview of the national BUR process and the content of the BUR submitted.
3. Communicate the contact details of the designated technical contact(s) to the secretariat.
4. Share with the designated technical contact(s) the information received from the secretariat outlining the process of the technical analysis, the time frame for various tasks and what is expected the Party.

[6] *Parties are encouraged to submit their BURs through the submission portal. Requests for access to the portal should be sent to Reporting-NAI@unfccc.int.*
[7] *http://unfccc.int/8722.php.*

Technical advice to the designated technical contact(s) of the Party to facilitate smooth and efficient preparation and participation in the pre-technical analysis phase

1. Actively engage with the secretariat and the TTE to clearly understand the process, timeline and expectations. It is important to have clarity well in advance on whether the TTE, as a result of the desk analysis, will raise any question(s)/request technical clarification(s). If so, clarify the timeline for the receipt of and your response to the question(s)/request(s) for technical clarification.
2. Start collecting and organizing background technical documents and materials used for preparing information reported in the BUR.
3. At the same time, start organizing the national team drawing from the sectoral and/or thematic experts involved in preparing different parts of the information reported in the BUR. As a part of this, you may also draw up a clear workplan defining: (i) a timeline based on the secretariat's tentative timeline for the technical analysis; (ii) roles and responsibilities; and (iii) a clear approach for communication among the team as well as with the TTE, through the secretariat, to enable timely and necessary interventions from the sectoral and/or thematic experts.
4. Define the roles and responsibilities of the sectoral and/or thematic experts identified to support the technical analysis, in particular for: (i) addressing question(s)/request(s) for technical clarification; (ii) consulting with the TTE on the identification of capacity-building needs; and (iii) providing feedback on the draft summary report.
5. It is recommended that actions 1–4 above be completed before the Party receives the first set of questions/requests for technical clarification, if any, from the TTE.
6. In the event that the Party receives any question(s)/request(s) for technical clarification at this stage, it is highly recommended that the Party makes every effort, to the extent possible, to respond comprehensively in a timely manner while noting that provision of additional information, per decision 20/CP.19, annex IV, paragraph 4, is not a mandatory one. This will facilitate smoother work in the technical analysis week.

C.3.3. TECHNICAL ANALYSIS PHASE

It is the week where the TTE meets in a single location over five working days to analyse one to three BURs, depending on the number of BURs awaiting technical analysis. As outlined in chapter C.1 above, the technical analysis entails the following key tasks:

- Identifying the extent to which information is included in the BUR;
- Undertaking a technical analysis of information contained in the BUR to check whether the information reported is transparent;
- Identifying, in consultation with the Party concerned, capacity-building needs in order to facilitate: (i) reporting information in accordance with the UNFCCC reporting guidelines on BURs; and (ii) participating in the ICA process.

A. Identifying the extent to which information is included in the BUR

In accordance with the modalities and procedures for the TTE contained in the annex to decision 20/CP.19, the TTE identifies the extent to which the elements of information listed in the ICA guidelines contained in decision 2/CP.17, annex IV, paragraph 3(a), are included in the BUR of the Party concerned. This includes: (i) the national greenhouse gas (GHG) inventory report; (ii) mitigation actions and their effects; and (iii) support needed and received (finance, technology transfer and capacity-building).

[8] *Paragraphs 8–24 of the annex to decision 17/CP.8 relate to reporting provisions in the "Guidelines for the preparation of national communications from Parties not included in Annex I to the Convention". While the national communication itself is not subjected to the ICA process, these provisions are applied here as they form parts of the reporting provision in the UNFCCC reporting guidelines on BURs through decision 2/CP.17, annex III, paragraph 3.*

In simpler terms, this part of the analysis is a simple check of whether the BUR contains information as per the UNFCCC reporting guidelines on BURs, while recognizing that some of the requested information is of a voluntary nature.

For example, the information reported on national GHG inventories is compared against paragraph 41(g) of decision 2/CP.17 and annex III thereto, paragraphs 3–10, as well as paragraphs 8–24 of the annex to decision 17/CP.[8] A sample of findings of a TTE is illustrated in figure 3, which contains an abstract from a published summary report.

Figure 3: Sample of findings of the TTE from a published summary report

Decision	*Reporting requirements*	*Yes/ Partly/No*	*Comments on the extent of the information provided*
Decision 2/CP.17, paragraph 41(g)	The first BUR shall cover, at a minimum, the inventory for the calendar year no more than four years prior to the date of the submission, or more recent years if information is available	Yes	The inventory information is provided for years up to 2010, and the year of submission is 2014
Decision 2/CP.17, annex III, paragraph 5	The updates of the sections on the national inventories of anthropogenic emissions by sources and removals by sinks of all GHGs not controlled by the Montreal Protocol should contain updated data on activity levels based on the best information available using the Revised 1996 IPCC Guidelines for National GHG Inventories, the IPCC good practice guidance and Uncertainty Management in National GHG Inventories, and the IPCC good practice guidance for LULUCF; any change to the emission factor may be made in the subsequent full national communication	Yes	The Party has used updated data on activity levels based on the best information available using the 2006 IPCC Guidelines
Decision 2/CP.17, annex III, paragraph 9	The inventory section of the BUR should consist of a national inventory report as a summary or as an update of the information contained in decision 17/CP.8, annex, chapter III (National greenhouse gas inventories), including:	Yes	The Party provides a detailed update of the information, using the 2006 IPCC Guidelines for the first time
	• Table 1 (National greenhouse gas inventory of anthropogenic emissions by sources and removals by sinks of all greenhouse gases not controlled by the Montreal Protocol and greenhouse gas precursors)	Yes	The information is reported in chapter II, table 6, of the BUR

Similarly, for mitigation actions and their effects, the checks are done against the reporting provisions contained in paragraphs 11–13 of annex III to decision 2/CP.17. For information reported on support needed and received (finance, technology and capacity-building), the reporting provisions contained in paragraphs 14–16 of the same annex serve as the reference point.

B. Undertaking the technical analysis of information reported in the BUR

As mentioned in chapter C.1 above, the technical analysis aims, without engaging in discussion on the appropriateness of these actions, to increase the transparency of mitigation actions and their effects. Accordingly, the technical analysis focuses on the transparency of information reported in the BUR. This includes analysing whether the context, data, assumptions and methodologies used to generate the information included in the BUR are sufficiently explained in a manner that allows for clear understanding and facilitates replication.

Examples of a TTE's findings on the technical analysis of the information reported in BURs

xx. As encouraged in decision 17/CP.8, annex, paragraph 4, Party AA provided a summary of relevant information regarding its national circumstances in tabular format, including key indicators and their sources. This information transparently describes its national circumstances.

yy. .....

xx. Party AA transparently describes its participation in the clean development mechanism (CDM). It presents complete statistics related to its participation in international carbon markets.

zz. The TTE notes that inclusion of this information in the next BUR will enhance the transparency of the reported information with regard to technology needs, but also with regard to the related capacity-building and financial needs.

C. Identifying capacity-building needs

The third key task under the technical analysis process entails identification of capacity-building needs to facilitate: (i) reporting information in accordance with the UNFCCC reporting guidelines on BURs; and (ii) participating in the ICA process. This is conducted in consultation with the Party concerned and is informed by:

- The capacity-building needs identified by the Party itself and reported in the BUR;
- The capacity-building needs identified by the TTE in response to any transparency issues resulting from the technical analysis of the reported information.

The consultation between the Party and the TTE aims to confirm the identified capacity-building needs and prioritize them. This can happen in the form of discussion via video/teleconferencing.

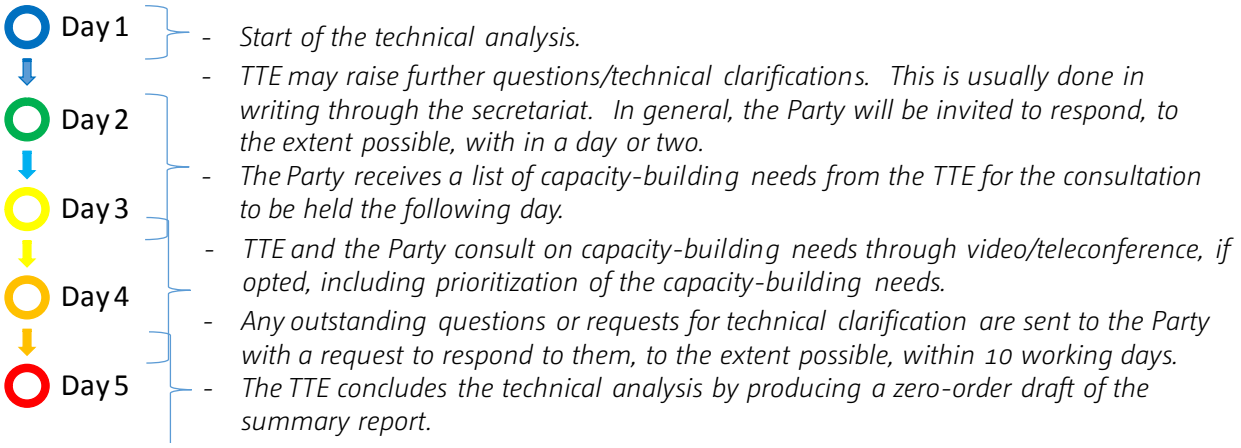
D. Key processes and timeline

As illustrated in figure 4, the technical analysis week is intense, with various opportunities for interaction between the TTE and the Party. Hence, it is essential to ensure proper planning and coordination well in advance. It is also important to work closely and maintain clear lines of communication among all the actors involved in the process (the TTE, the secretariat and the Party concerned). There are at least two instances in the week when input from the Party may needed: the first happens in the early part of the week where the TTE may seek further technical clarification(s) from the Party concerned. The second happens in the later part of the week for the consultation on the identification of capacity-building needs. For the purpose of the consultation on the identification of capacity-building needs, the TTE preliminarily identifies a list of capacity-building needs on the basis of what the Party has reported, and what the TTE considers to be useful and relevant to respond to identified transparency issues, if any. The list is normally shared with the Party one or two days in advance of the consultation.

Technical advice to the designated technical contacts of the Party to facilitate smooth and efficient preparation and participation in the technical analysis week

1. Ensure that you have a clear picture of the TTE's plan for the week, in particular on the following questions:
   a. When does the TTE plan to seek technical clarification(s) and expect response(s)?
   b. When does the TTE plan to share the preliminary list of identified capacity-building needs?
   c. When will the consultation on capacity-building needs happen?
2. Based on the above, plan and organize your team resources to ensure that the necessary input is provided as per the schedule.
3. It is recommended that the coordinator of the BUR as well as other sectoral/thematic experts involved in preparing the BUR are engaged in the tele/videoconference. This enriches the discussion during the consultation. It is possible to have experts participating remotely from multiple locations.
4. Document the process, including the technical clarifications received and responses provided, as well as those resulting from the consultation on capacity-building needs.

Figure 4: Key process and indicative timeline of the technical analysis week



C.3.4. SUMMARY REPORT PREPARATION AND FINALIZATION

This stage refers to the period from the end of the technical analysis week until the summary report is finalized and published on the UNFCCC website. As illustrated in figure 2 above, the time and effort invested in this stage relate mainly to:

- Addressing the responses from the Party if there are any pending or outstanding requests for technical clarification after the technical analysis week;
- The TTE finalizing the draft summary report within three months after the start of the technical analysis;
- The Party providing comments and feedback on the draft summary report within three months of receipt;
- Finalizing, in consultation with the Party, the summary report by the TTE within three months of receipt of the comments and feedback from the Party.

Once the summary report is finalized, it is published on the UNFCCC website.[9] Following the publication, the SBI takes note of the summary report in its conclusions at its next session. The BUR and the summary report serve as an input to the second step of the ICA process – the facilitative sharing of views for the Party.

[9] http://unfccc.int/8722.php.

C.4. KEY DOCUMENTS AND TOOLS USED TO CONDUCT THE TECHNICAL ANALYSIS

C.4.1. KEY DOCUMENTS

The technical analysis of the BUR is guided by the following key documents:

- Composition, modalities and procedures of the team of technical experts under international consultation and analysis contained in decision 20/CP.19 and the annex thereto;
- Modalities and guidelines for international consultation and analysis contained in paragraphs 56–62 of decision 2/CP.17 and annex IV thereto;

Technical advice to the designated technical contacts of the Party to facilitate smooth and efficient preparation and participation in the summary report preparation and finalization

1. Respond, within two weeks after the TA week, to any request for technical clarification received from the TTE during the technical analysis week. Succinct and comprehensive responses help in expediting the finalization of the summary report.
2. If you do not understand the technical clarifications the TTE is asking for, you may, through the secretariat, ask the TTE for further explanation.
3. Confirm the final list of capacity-building needs identified by the TTE, and identify, as relevant, the priority capacity-building needs.
4. Formulate feedback and comments on the draft summary report exercising brevity and clarity, and provide them to the TTE, through the secretariat, as early as possible. It is recommended that the services and engagement of the sectoral/thematic experts are retained until the summary report is finalized.
5. Upon receipt and acceptance of the final summary report, provide clearance to the secretariat to proceed with the publication of the summary report.

- Paragraphs 39–44 of the UNFCCC reporting guidelines on BURs contained in decision 2/CP.17 and annex III thereto.

C.4.2. KEY TOOLS

The main tools used during the technical analysis process are the thematic checklist and the technical analysis summary report (TASR) template.

A. Thematic checklist

The checklist facilitates positive interaction and information exchange between the Party and the TTE and is used throughout the technical analysis process, including during the preparatory stage and the technical analysis week.

An example of a worksheet from the thematic checklist is shown in the annex.

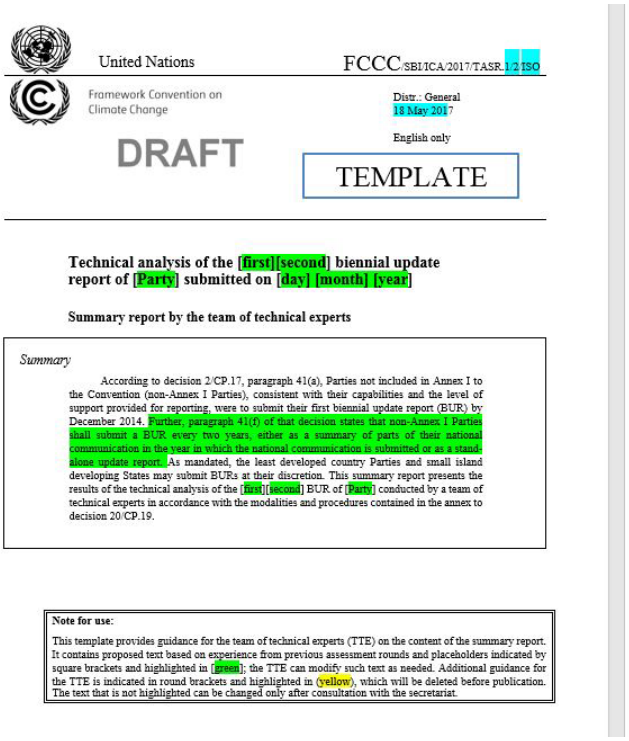
The thematic checklist consists of four worksheets covering each thematic area of the BUR: national GHG inventories, mitigation actions and their effects, support needed and received (finance, technology transfer and capacity-building), and cross-cutting issues. Each of these thematic worksheets is organized into four main categories: the extent of the information reported in the BUR, the transparency of information reported in the BUR, the area of technical clarifications, and capacity-building needs.

Where the TTE deems that the extent of the information reported in the BUR is not in accordance with the reporting provisions, comments are added (column F). Further, in cases where the information reported is not sufficiently explained in a manner that allows for clear understanding and facilitates replication, additional comments are included in the checklists (column G) and the Party is asked to provide technical clarification (column H). Lastly, in the event that the Party's clarification attributes the lack of transparency in reporting to a capacity-building need, this forms the basis of the TTE's proposed capacity-building needs, which the Party then verifies in column J.

B. Technical Analysis Summary Report template

The summary report template is the main tool within which the outcome of the technical analysis is captured. The results captured in the checklist feed into the template. It aims to maintain consistency across all summary reports. As illustrated in figure 5, it is structured into three main components: introduction and process overview; technical analysis of the information reported in the BUR; and the conclusion.

FIGURE 5: SUMMARY REPORT TEMPLATE



United Nations

FCCC/SBI/ICA/2017/TASR.1/2/ISO

Framework Convention on Climate Change

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DRAFT

TEMPLATE

Technical analysis of the [first][second] biennial update report of [Party] submitted on [day] [month] [year]

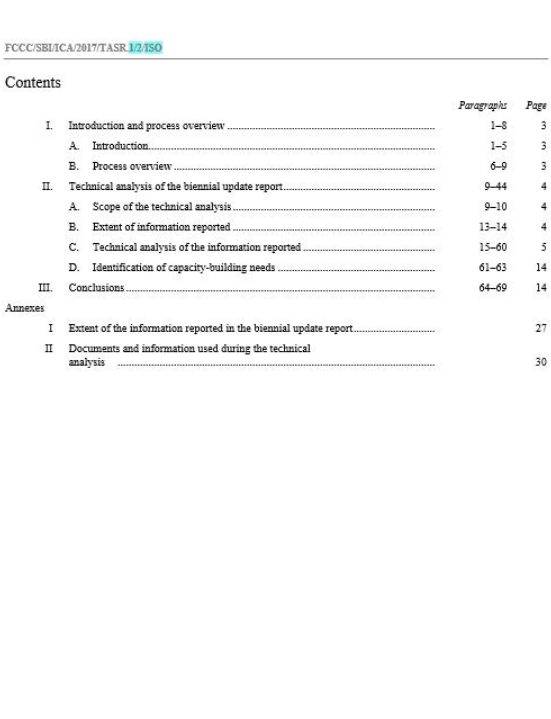
Summary report by the team of technical experts

Summary

According to decision 2/CP.17, paragraph 41(a), Parties not included in Annex I to the Convention (non-Annex I Parties), consistent with their capabilities and the level of support provided for reporting, were to submit their first biennial update report (BUR) by December 2014. Further, paragraph 41(f) of that decision states that non-Annex I Parties shall submit a BUR every two years, either as a summary of parts of their national communication in the year in which the national communication is submitted or as a stand-alone update report. As mandated, the least developed country Parties and small island developing States may submit BURs at their discretion. This summary report presents the results of the technical analysis of the [first][second] BUR of [Party] conducted by a team of technical experts in accordance with the modalities and procedures contained in the annex to decision 20/CP.19.

Note for use:

This template provides guidance for the team of technical experts (TTE) on the content of the summary report. It contains proposed text based on experience from previous assessment rounds and placeholders indicated by square brackets and highlighted in [green]; the TTE can modify such text as needed. Additional guidance for the TTE is indicated in round brackets and highlighted in (yellow), which will be deleted before publication. The text that is not highlighted can be changed only after consultation with the secretariat.



FCCC/SBI/ICA/2017/TASR.1/2/ISO

Contents

i) Introduction and process overview

This section provides an overview of the context and mandate for the technical analysis and the TTE. It also includes other general information such as the submission date of the BUR, the date of the technical analysis, and the name and country of the members of the TTE. Information on the mode of consultation with the TTE, as well as the dates for the key milestones in the report preparation process, are also included in this section.

ii) Technical analysis of the information reported in the BUR

The section is the main substantive part of the report and summarizes the outcome of the technical analysis.

[10] *http://unfccc.int/10054.php.*

iii) Conclusion

This section contains concluding remarks from the TTE providing a high-level summary of the outcome of the technical analysis. All finalized summary reports published to date are available on the UNFCCC website[11].

D. STEP 2 OF THE ICA PROCESS – THE FACILITATIVE SHARING OF VIEWS

D.1. PROCESS DETAILS

The FSV, guided by the principles, and the modalities and guidelines for the ICA process, is convened for non-Annex I Parties for which there is a BUR and a summary report of the technical analysis, in the form of a workshop open to all Parties. One of the benefits for non-Annex I Parties to participate in the FSV workshop is to showcase their actions undertaken to reduce GHG emissions, present the associated challenges and gaps related to implementation, as well as the MRV of these actions, and indicate needs and support received.

The FSV workshop consists of a sequence of presentations by Parties covering information reported in their BURs, followed by a question and answer session among Parties. Other interested Parties can submit written questions in advance to Parties undergoing FSV.

With a view to assisting non-Annex I Parties undergoing FSV in preparing their presentation, the secretariat prepared a generic template (see figure 6) as a guiding tool to be used at their own discretion.

Figure 6: Generic Template

Presentation outline

Part I: Summary of BUR and recent development [10 minutes]
- National context
- GHG inventory
- Mitigation actions and effect
- Barriers and support needed and received

Part II: Experience and lessons learned in participating in the ICA process [5 minutes]
- Has participation in the ICA process raised the profile of climate actions at the domestic level?
- Has the BUR preparation enhanced domestic coordination/ domestic MRV in providing climate related information? If so, how?
- What's the value addition of the technical analysis of BURs by the team of technical experts?

Part III: Response to questions received [5 minutes]

The secretariat, under the guidance of the SBI Chair, organizes the FSV workshop on a semi-annual basis during the UNFCCC sessional periods.

As per paragraph 8 of annex IV to decision 2/CP.17, the output of the FSV is a record of the FSV summarizing the presentation by the Party and proceedings. This record is prepared by the secretariat, under the guidance of the SBI Chair, for each Party undergoing the FSV and is published on the UNFCCC website.

The summary report of the technical analysis and the FSV record constitute the outcome of the ICA process for a non-Annex I Party that successfully submitted its BUR and underwent through the ICA process.[12]

[11] *http://unfccc.int/10054.php.*

D.2. FORMAT, DURATION AND OTHER ORGANIZATIONAL MATTERS RELATING TO THE WORKSHOP

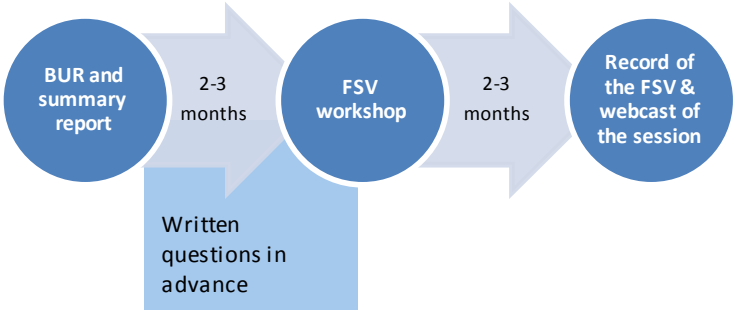
The format and duration of the FSV workshop are defined in accordance with the modalities and guidelines for ICA, and taking into account the feedback from Parties. The main aspects of the workshop are as follows:

- Chairing arrangements: The SBI Chair presides over the proceedings of the workshop. In the event that the SBI Chair is unavailable, the Vice-Chair or the Rapporteur of the SBI presides over the workshop on behalf of the Chair.
- Working language: The working language for the workshop is English only. No interpretation services are made available.
- Workshop participants: The workshop is open to all Parties and observers. However, only Parties can take the floor for interventions.
- Representation of non-Annex I Parties undergoing FSV: A non-Annex I Party designates a representative with competence in both policy and technical issues to speak on its behalf.
- Order of participation and placement of speakers and seating arrangements: The participation of non-Annex I Parties undergoing FSV during the workshop follows the alphabetical order of Party names. The Parties undergoing FSV make their presentations and address any questions from other Parties from their respective Party's seat on the floor.
- Written questions in advance: Other interested Parties can submit written questions to those non-Annex I Parties undergoing FSV in advance of the workshop via the facilitative sharing of views portal[13].
- Time allocation: Each Party is allocated, on average, 40 minutes:
    - Presentation – 20 minutes;
    - Questions and answers – 20 minutes.
    - In the event that the presentation and the question and answer session conclude before the end of the total allocated time, the next Party is invited to participate in the FSV.

D.3. KEY PROCESSES AND TIMELINE

When the summary report of the technical analysis of the BUR is finalized, the non-Annex I Party is ready to undergo the FSV with its BUR and summary report as the input to the FSV (see figure 7).

FIGURE 7: KEY PROCESSES AND INDICATIVE TIMELINE OF FSV



[12] *The FSV portal is a web-based tool to facilitate the submission of written questions in advance among Parties undergoing FSV and other interested Parties. The FSV portal is available at https://process.unfccc.int/sites/fsv to users nominated by the national focal points.*

The process for the FSV starts as soon as the secretariat announces the dates and venue for the FSV workshop and confirms the list of non-Annex I Parties undergoing the FSV in that session. At the same time, the secretariat also opens the opportunity for other interested Parties to submit written questions in advance via the FSV portal.

Technical advice to non-Annex I Parties undergoing FSV

1. Upon receiving the communication from the secretariat announcing the date and venue for the FSV, confirm your participation.
2. Engage with the secretariat to clearly understand the process and the timeline.
3. Start preparing your presentation as early as possible, engaging your national experts involved in the preparation of BURs.
4. If resources permit, it is helpful to include a few key national experts engaged in the preparation and technical analysis of BURs in the delegation to participate in the FSV. Alternatively, the national experts will have the opportunity to follow the session in real time via webcast and/or YouTube.
5. In the event that you do not have the capacity to respond to written questions received in advance, your responses to the questions could be provided as part of your presentation.
6. In general, other Parties participating in the workshop tend to show interest in hearing more on lessons learned and experience gained. Hence, it is advisable to gather and be prepared to share your national experience gained and lessons learned on the process and the preparation of BURs.
7. Considering that the time available for the presentation is limited, it is advisable to focus the presentation on showcasing key actions and achievements, highlighting major challenges and needs, and recognizing the major support received.

Technical advice to other Parties interested in submitting questions in advance as well as asking questions during the workshop

1. It is important to submit the questions well in advance so that Parties receiving the questions have sufficient time to review them and prepare responses.
2. It is also important to note that the questions should respect the underlying principles of the ICA process of being non-intrusive, non-punitive and respectful of national sovereignty. The questions should not entail discussion about the appropriateness of domestic policies and measures.

ANNEX: EXAMPLE OF A WORKSHEET FROM THE THEMATIC CHECKLIST

A	B	C	D	E	F	G	H	I	J
Decision context	Reporting provisions	The extent of information is reported[1]		Clarity of information reported[2]		Areas of technical clarification (related to findings in C and E)		Capacity-building needs[3]	
		Yes, Partly or No	Comments on the extent of information reported (in case of Partly/No in column C)	Yes, Partly or No	Comments on clarity of information (in case of Partly/No in column E)	Areas of technical clarification	Information on areas of technical clarification (to be provided by the Party concerned)	Capacity-building needs proposed by the TTE during the technical analysis week	Capacity-building-needs identified in consultation with the Party concerned[4] (to be provided by the Party concerned)
Decision 2/CP.17									
41 (g)	That the first BUR submitted by non-Annex I Parties shall cover, at a minimum, the inventory for the calendar year no more than four years prior to the date of the submission, or more recent years if information is available.								
Decision 2/CP.17 and its annex: "UNFCCC biennial update reporting guidelines for Parties not included in Annex I to the Convention"									
3	Non-Annex I Parties should submit updates of national GHG inventories according to paragraph 8-24 in the "Guidelines for the preparation of national communications from Parties not incldued in Annex I to the Convention"as contained in the annex to decision 17/CP.8. The scope of teh update on national GHG inventories should be consistent with capacities, time constraints, data availabilities and the level of support provided by developed countries Parties for biennial update reporting.								
4	Non-Annex I Parties should use the methodologies established by the latest UNFCCC guidelines for the preparation of national communications from non-Annex I Parties approved by COP or those determined by any future decision of the COP on this matter. (The completeness check for this reporting provision should indicate whether the Party used the 2006 IPCC Guidelines or the Revised 1996 IPCC Guidelines)								
5	The updates of the sections on the national inventories of anthropogenic emissions by sources and removals by sinks of all GHGs not controlled by the Montreal Protocol should contain updated data on activity levels based on the best information available using the Revised 1996 IPCC Guidelines for National GHG Inventories, the IPCC good practice guidance GPG and Uncertainty Management in National GHG								

United Nations
Framework Convention on
Climate Change