

## Submission by Switzerland, 21 October 2011

### 3.2.1. Draft Modalities and Procedures for International Assessment and Review

Non-paper by the facilitators dated 14.10.2011 @ 5 PM

#### Draft decision to adopt the modalities and procedures:

*Recalling* decisions 2/CP.1, 9/CP.2, 6/CP.3 and 33/CP.7 on review of national communications from Parties included in Annex I to the Convention (Annex I Parties), and decisions 6/CP.5, 19/CP.8, 12/CP.9 and 18/CP.10 on review of national greenhouse gas inventories from Annex I Parties,

*Recalling further* decision 1/CP.16, establishing an international assessment and review process (IAR) of emissions and removals related to Annex I Parties' quantified economy-wide emission reduction targets under the Subsidiary Body for Implementation (SBI), taking into account national circumstances, in a rigorous, robust and transparent manner, with a view to promoting comparability and building confidence,

*Responding* to the work programme launched by decision 1/CP.16 to develop modalities and procedures for the IAR process, building on existing review guidelines, processes and experiences,

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

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

1. *Adopts* the modalities and procedures for international assessment and review, annexed to this decision;
2. *Decides* that Annex I Parties that have submitted their first biennial report in 2012 will undergo the IAR process according to the modalities and procedures referred to in paragraph 1 above;
3. *Decides* that the modalities and procedures referred to in paragraph 1 above will be enhanced further into guidelines, once the first round of the IAR process has been performed and on the basis of the experience gained from it.
4. *Decides* that the frequency of the subsequent rounds of the IAR process will be included in the guidelines referred to in paragraph 3 above.

Draft Modalities and Procedures for the International Assessment and Review Process:

Reference	Submission by Switzerland	Rationale
I. Para 1(a)	To provide a [non-intrusive][non-confrontational], robust, rigorous and transparent assessment of developed country Parties. progress towards the attainment of their quantified economy-wide emission reduction targets [ <del>and the implementation of commitments for the provision of financial, technological and capacity building support to developing country Parties</del> ];	<ul style="list-style-type: none"> <li>Decision 1/CP.16 call for an IAR process of emissions and removals related to quantified economy-wide emission reduction targets, not to support</li> </ul>
I. Para 1(f)	Delete	<ul style="list-style-type: none"> <li>This is a specific objective of the IA process, captured in paragraph 3(d)</li> </ul>
I. Para 1(g)	Delete	<ul style="list-style-type: none"> <li>Identical to paragraph 1(e)</li> </ul>
I. Para 1(j)	Delete	<ul style="list-style-type: none"> <li>Compliance is not an objective of the IAR process</li> <li>Compliance only after the target year</li> <li>Compliance with reporting requirement expressed in paragraph 2(a)</li> </ul>
I. Para 1(k)	To provide input to the 2013.2015 and the subsequent periodic review processes] <b>of the long-term global goal.</b>	<ul style="list-style-type: none"> <li>Important to specify which Review process it is, not to be mixed with the R of IAR of the R processes of national inventories or NC</li> </ul>
I. Para 2	In addition to the overall objectives included in paragraph 1, the specific objectives of the [technical][expert] [review][ <del>assessment</del> ] are the following:	<ul style="list-style-type: none"> <li>Assessment</li> </ul>
I. Para 2(a)	To provide a thorough, objective and comprehensive [technical][expert] [review][ <del>assessment</del> ] of information provided in reports referred to in paragraph 6 below for accuracy and conformity with reporting requirements;	<ul style="list-style-type: none"> <li>Specific objective of the technical review</li> </ul>
I. Para 2(b)	[To assess the implementation of commitments related to quantified economy-wide emission reduction targets <del>and the provision of support;</del> ]	<ul style="list-style-type: none"> <li>Support is not subject to IAR, according to decision 1/CP.16</li> </ul>
I. Para 2(e)	[To <del>ensure</del> <b>promote</b> comparability of efforts among developed country Parties];	<ul style="list-style-type: none"> <li>Wording of decision 1/CP.16</li> </ul>
I. Para 2(f)	To assist Parties included in Annex I in improving their reporting of information and <del>the implementation of their commitments and</del> <b>in assessing their progress towards their</b> targets;	<ul style="list-style-type: none"> <li>According to decision 1/CP.16, paragraph 42</li> </ul>
I. Para 3	Further, the specific objectives of the <b>international</b> [assessment][ <del>review</del> ] are the following:	<ul style="list-style-type: none"> <li>Assessment</li> </ul>
I. Para 3(b)	To [ <del>assess</del> ][ <del>review</del> ] and [ <del>review</del> ][ <del>assess</del> ] the implementation of the quantified economy-wide emission reduction targets <del>and the provision of sup-</del>	<ul style="list-style-type: none"> <li>Support is not subject to IAR, according to decision 1/CP.16</li> </ul>

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	port;	
I. Para 3(c)	To facilitate the [consideration of ] <del>[review]</del> comparability of effort among Parties;	<ul style="list-style-type: none"> <li>This IA specific objective is not a review</li> </ul>
II. A. Para 4(a)	A <del>[technical][expert] [review][assessment]</del> , where relevant in conjunction with the annual inventory and national communications review process for developed country Parties, which would result in an individual review report for each developed country Party;	<ul style="list-style-type: none"> <li>First the technical Review</li> </ul>
II. A. Para 4(b)	Delete	<ul style="list-style-type: none"> <li>Not a step in itself, rather part of the IA step defined in paragraph 4(c)</li> </ul>
II. A. Para 4(c)	An <b>international</b> <del>[assessment][review]</del> of progress towards the achievement of quantified economy-wide emission reduction targets <del>[and the provision of financial, technological and capacity building support to developing country Parties]</del> under the auspices of the Subsidiary Body for Implementation;	<ul style="list-style-type: none"> <li>Second the International Assessment process</li> </ul>
II. A. Para 4(d)	Move to paragraph 1, as an overall objective of the IAR process	<ul style="list-style-type: none"> <li>Not a step in the IAR process, rather an objective thereof</li> </ul>
II. B. Para 5	IAR will <del>[review][assess]</del> and <b>internationally</b> <del>[assess][review]</del> [based on the existing review process] for each developed country Party the following:	<ul style="list-style-type: none"> <li>First the technical Review, then the International Assessment process</li> </ul>
II. B. Para 5(d)	Delete	<ul style="list-style-type: none"> <li>Support not subject to the IAR process, according to decision 1/CP.16</li> </ul>
III. Title	<del>[Technical][Expert] [review][assessment]</del>	<ul style="list-style-type: none"> <li>First the technical review process</li> </ul>
III. A. Para 6	The inputs to the <del>[technical][expert] [review][assessment]</del> are the following:	<ul style="list-style-type: none"> <li></li> </ul>
III. A. Para 6(a)	<del>[Biennial report][Annual GHG inventory and national inventory report];</del>	<ul style="list-style-type: none"> <li>First and most important input for the Review = BR</li> </ul>
III. A. Para 6(b)	<del>[Annual GHG inventory and national inventory report and if applicable, biennial report]</del>	<ul style="list-style-type: none"> <li>Inventory also an important input for the Review</li> </ul>
III. A. Para 6(d)	Option 2 to be kept	<ul style="list-style-type: none"> <li>The whole NC contains elements not subject to the IAR process</li> </ul>
III. A. Para 6(f)	Peer reviewed publications and other credible sources <b>approved by the Party concerned</b> .	<ul style="list-style-type: none"> <li>External sources should be approved by the Party undergoing the review part of the IAR process</li> </ul>
III. B. <b>new para</b>	[At the commencement of an IAR cycle for each developed country Party, the secretariat will assemble a technical experts team of five to eight members, drawing from [a pool of 50] Party nominated experts [constituted for completing both the <b>Review part of the</b> IAR process and <b>the</b>	<ul style="list-style-type: none"> <li>Copy-paste, mutatis mutandis, from the ICA modalities and procedures and adapted, as this paragraph concerns both processes</li> <li>To be inserted just after III. B. Process (before para-</li> </ul>

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	technical analysis part of the ICA process hosted by the UNFCCC secretariat], balanced as to expertise and developed/developing country Party participation. The members of the expert team would serve in their personal capacity.]	graph 7)
III. B. Para 7	Option I: [Each developed country Party's biennial report is [reviewed] [assessed], where relevant in conjunction with the annual inventory and national communications review process, as follows:	<ul style="list-style-type: none"> <li>Option 1 privileged as it is more complete than option 2 and addresses LULUCF and the carbon credits from the market based mechanisms (decision 1/CP.16, paragraph 46(d))</li> </ul>
III. B. Para 7(a)	The [annual] inventory and national communications review are conducted in accordance with existing [and revised] guidelines and procedures under the Convention[, and [where relevant,] the Kyoto Protocol];	<ul style="list-style-type: none"> <li>No explicit reference to the KP, even if experience from it useful</li> </ul>
III. B. Para 7(b)(i)	Delete	<ul style="list-style-type: none"> <li>Implementation of actions or P&amp;M, but not of targets</li> <li>Better expressed by paragraph 7(b)(ii)</li> </ul>
III. B. Para 7(b)(iv)	Delete	<ul style="list-style-type: none"> <li>Support not subject to the IAR process, according to decision 1/CP.16</li> </ul>
III. B. Para 7 Opt. II	Not enough	<ul style="list-style-type: none"> <li>Review in the IAR process is more than the actual review process of national inventories or NC (also review of progress towards the target)</li> </ul>
III. B. Para 8	Option 1 (see also new paragraph included before paragraph 7)	<ul style="list-style-type: none"> <li>Expert review/analysis teams should be reinforced, also for the ICA process</li> </ul>
III. C. Para 9	The output of the [technical][expert] [review][assessment] [based on the existing review process] is a [technical][expert] [review][assessment] report(s) for each individual developed country Party.	<ul style="list-style-type: none"> <li>First the technical review, then the international assessment process</li> </ul>
IV. Title	International [Assessment][Review]	<ul style="list-style-type: none"> <li>After the review, the international assessment process</li> </ul>
IV. A. Para 10	The international [assessment][review] will be carried out on the basis of:	<ul style="list-style-type: none"> <li>This part of the modalities deals with the international assessment</li> </ul>
IV. A. Para 10(a)	[Technical][Expert] [review][assessment] report(s) referred to in paragraph 9, and any other relevant review reports;	<ul style="list-style-type: none"> <li>The report of the technical review is the link between the 2 phases of the IAR process</li> </ul>
IV. A. Para 10(d)	Other information provided by the Party before or during the international [assessment][review];	<ul style="list-style-type: none"> <li>This part of the modalities deals with the international assessment</li> </ul>
IV. A. Para 10(e)	[Inputs from other stakeholders/Parties] approved by the Party undergoing the international assessment process	<ul style="list-style-type: none"> <li>External sources should be approved by the Party undergoing the IAR process</li> </ul>
IV. B. Para 11	Each developed country Party is [assessed][reviewed] individually during a dedicated session of the Subsidiary Body for Implementation (SBI) or through a designated body operating under the auspices of the SBI. [De-	<ul style="list-style-type: none"> <li>Individual IA process is the rule but for small countries, grouped processes may be organised</li> <li>This part of the modalities deals with the interna-</li> </ul>

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	veloped country Parties are <b>could</b> also <b>be</b> [assessed][reviewed] aggregately.]	tional assessment <ul style="list-style-type: none"> <li>• Content of paragraph 13 taken up here</li> </ul>
IV. B. Para 12	The <b>international</b> [assessment][review] under the IAR process shall entail the following:	<ul style="list-style-type: none"> <li>• This part of the modalities deals with the international assessment</li> </ul>
IV. B. Para 12(d)	The privileged option	<ul style="list-style-type: none"> <li>• To keep the process manageable</li> </ul>
IV. C.	Delete part C and move content of paragraph 13 into paragraph 11	<ul style="list-style-type: none"> <li>• Keep the structure of the modalities for each of the steps of the IAR process similar (inputs, process, outputs)</li> </ul>
IV. D. Para 14	The outputs of the <b>international</b> [assessment][review] are the following:	<ul style="list-style-type: none"> <li>• This part of the modalities deals with the international assessment</li> </ul>
IV. D. Para 14(c)-(i)	Delete. Keep only the objective record of the questions&answers and of the discussion, and the summary report	<ul style="list-style-type: none"> <li>• Compliance is not an objective of the IAR process</li> <li>• Compliance only after the target year</li> </ul>
IV. E.	Delete part E.	<ul style="list-style-type: none"> <li>• Relation with the review of the long-term global goal noted in the decision adopting the modalities and procedures of the IAR process</li> <li>• Address the relation between IAR and other (review) processes when the modalities and procedures will be translated into guidelines</li> <li>• Structural problem: Part E related to the whole IAR process and not only to the IA part thereof (E is a sub-item of IV)</li> </ul>
		<ul style="list-style-type: none"> <li>•</li> </ul>