

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

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

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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"> 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))
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"> No explicit reference to the KP, even if experience from it useful
III. B. Para 7(b)(i)	Delete	<ul style="list-style-type: none"> Implementation of actions or P&M, but not of targets Better expressed by paragraph 7(b)(ii)
III. B. Para 7(b)(iv)	Delete	<ul style="list-style-type: none"> Support not subject to the IAR process, according to decision 1/CP.16
III. B. Para 7 Opt. II	Not enough	<ul style="list-style-type: none"> Review in the IAR process is more than the actual review process of national inventories or NC (also review of progress towards the target)
III. B. Para 8	Option 1 (see also new paragraph included before paragraph 7)	<ul style="list-style-type: none"> Expert review/analysis teams should be reinforced, also for the ICA process
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"> First the technical review, then the international assessment process
IV. Title	International [Assessment][Review]	<ul style="list-style-type: none"> After the review, the international assessment process
IV. A. Para 10	The international [assessment][review] will be carried out on the basis of:	<ul style="list-style-type: none"> This part of the modalities deals with the international assessment
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"> The report of the technical review is the link between the 2 phases of the IAR process
IV. A. Para 10(d)	Other information provided by the Party before or during the international [assessment][review];	<ul style="list-style-type: none"> This part of the modalities deals with the international assessment
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"> External sources should be approved by the Party undergoing the IAR process
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"> Individual IA process is the rule but for small countries, grouped processes may be organised This part of the modalities deals with the interna-

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