



附属科学技术咨询机构

第三十八届会议

2013年6月3日至14日，波恩

议程项目4

关于与减少发展中国家毁林和森林退化所致排放量
有关的活动、森林养护和可持续管理的作用以及
提高森林碳储量的方法学指导意见

**关于与减少发展中国家毁林和森林退化所致排放量有关的
活动、森林养护和可持续管理的作用以及提高森林碳储量的
方法学指导意见**

主席提出的结论草案

国家森林监测制度

1. 附属科学技术咨询机构(科技咨询机构)决定提出一项关于国家森林监测制度模式的决定草案，供缔约方会议第十九届会议通过(决定草案案文载于FCCC/SBSTA/2013/L.12/Add.1)。

衡量、报告与核实

2. 科技咨询机构商定，对第1/CP.16号决定附录二(c)段所指衡量、报告与核实模式，继续开展有关方法学指导意见的工作，将以本结论附件一所载的各要素为基础，就这一事项拟定一项决定草案，争取在第三十九届会议(2013年11月)上完成此项工作，并就这一事项的一项决定草案提出建议，供缔约方会议第十九届会议(2013年11月)审议并通过。

森林参考排放水平和/或森林参考水平

3. 科技咨询机构商定，根据第12/CP.17号决定第15段的要求，继续开展关于拟议森林排放参考水平和/或森林参考水平技术评估的指导意见的工作，将以本结论附件二所载的各要素为基础，就这一事项拟出一项决定草案，争取在第三十九

届会议上完成此项工作，就这一事项的一项决定草案提出建议，供缔约方会议第十九届会议审议并通过。

保障措施

4. 科技咨询机构忆及第 12/CP.17 号决定第 2 段的指导意见，鼓励发展中国家缔约方继续积累经验和最佳做法，以改进本国就处理和遵守所有保障措施提供信息的系统。科技咨询机构还鼓励发展中国家缔约方与其他缔约方分享这些经验和教训。

5. 科技咨询机构请发展中国家缔约方在 2014 年 9 月 24 日之前向秘书处提交意见，涉及它们在建立就处理和遵守所有保障措施提供信息的系统时获得的经验和教训，以及它们在建立这类系统的过程中所面临挑战。并请秘书处将这些意见汇编成一份杂项文件，供科技咨询机构第四十一届会议(2014 年 12 月)审议。

6. 科技咨询机构请各缔约方和被接纳的观察员组织在 2014 年 9 月 24 日之前向秘书处提交意见，涉及就处理和遵守所有保障措施提供信息的系统提供的哪些类型的信息可能有用并可由发展中国家缔约方提供。请秘书处将这些意见汇编成一份杂项文件，供科技咨询机构第四十一届会议审议。还请秘书处在《气候变化框架公约》网站的网络平台¹上发布来自被接纳的观察员组织的意见。

7. 科技咨询机构还请发展中国家缔约方和观察员组织通过《气候变化框架公约》网站的网络平台分享它们在建立就如何处理和遵守所有保障措施提供信息的系统时获得的经验和教训以及它们在建立这类系统的过程中面临的挑战。

8. 科技咨询机构决定提出一项关于就如何处理和遵守第 1/CP.16 号决定附录一中所指各项保障措施提交信息概要的时间和频度的决定草案，供缔约方会议第十九届会议通过(决定草案案文载于 FCCC/SBSTA/2013/L.12/Add.2)。

9. 科技咨询机构商定将根据以上第 5 段和第 6 段所指的各项意见。在第四十一届会议上审议是否需要就第 12/CP.17 号决定第 6 段所指的问题提出进一步指导意见。

毁林和森林退化的驱动因素

10. 科技咨询机构忆及缔约方会议第 1/CP.16 号决定第 72 段请发展中国家在制订和执行国家战略或行动计划时，特别处理毁林和森林退化的驱动因素，确保相关利益攸关方的充分和切实参与，包括土著人民和地方社区。科技咨询机构认为处理毁林和森林退化的驱动因素的行动也应考虑到第 1/CP.16 号附件一所载的指导意见。

11. 科技咨询机构强调了跨部门协调在制订处理毁林和森林退化的驱动因素的国家战略或行动计划中的重要性。

¹ <http://unfccc.int/redd>。

12. 科技咨询机构还认为国际合作能有助于处理毁林和森林退化的驱动因素。
13. 科技咨询机构决定提出一项关于处理毁林和森林退化的驱动因素的决定草案，供缔约方会议第十九届会议通过(决定草案案文载于 FCCC/SBSTA/2013/L.12/Add.3)。

非市场型方针

14. 科技咨询机构注意到第 2/CP.17 号决定第 67 段所指非市场型方针，诸如综合可持续管理森林的联合缓解和适应方针，对于支持执行第 1/CP.16 号决定第 70 段所述各项活动非常重要。
15. 科技咨询机构进一步注意到需要明确与执行第 1/CP.16 号决定第 70 段所述各项活动相关的非市场型方针的类型，并明确是否需要进一步开展方法学方面的工作。科技咨询机构注意到这一问题与提供包括资金在内的可预测的充足支助之间的关系。
16. 科技咨询机构请各缔约方和被接纳的观察员组织在 2014 年 3 月 26 日之前向秘书处提交对关于非市场型方针的方法学指导意见的意见。并请秘书处将这些意见汇编成一份杂项文件，供科技咨询机构第四十届会议(2014 年 6 月)审议。
17. 科技咨询机构请秘书处在科技咨询机构第四十届会议上举办一次会期专家会议，讨论以上第 14 和 15 段所指事项，并编写会议报告供科技咨询机构第四十一届会议审议。
18. 科技咨询机构决定在第四十届会议上继续审议制订非市场型方针的方法学指导意见的问题。
19. 科技咨询机构注意到秘书处根据以上第 17 段开展活动所涉经费估算。
20. 科技咨询机构请秘书处根据资金到位情况开展本结论中要求的行动。

非碳效益

21. 科技咨询机构商定，在执行第 1/CP.16 号决定第 70 段所述各项活动时，必须考虑到非碳效益。
22. 科技咨询机构注意到其他国际组织和公约目前就非碳效益开展的工作。
23. 科技咨询机构进一步商定需要明确非碳效益的类别和相关的方法学问题。
24. 科技咨询机构请各缔约方和被接纳的观察员组织在 2014 年 3 月 26 日之前向秘书处提交对第 1/CP.18 号决定第 40 段所指各项问题的意见。并请秘书处将这些意见汇编成一份杂项文件，供科技咨询机构第四十届会议审议。
25. 科技咨询机构决定在第四十届会议上继续审议与非碳效益有关的方法学问题。

Annex I

[English only]

Elements for a possible draft decision on modalities for measuring, reporting and verifying

[*The Conference of the Parties,*

Recalling decisions 2/CP.13, 4/CP.15, 1/CP.16, 2/CP.17 and 12/CP.17,

1. *Decides* that measuring, reporting and verifying anthropogenic forest-related emissions by sources and removals by sinks, forest carbon stocks, and forest carbon stock and forest-area changes resulting from the implementation of the activities referred to in decision 1/CP.16, paragraph 70, taking into account paragraph 71(b) and (c), is to be consistent with the methodological guidance provided in decision 4/CP.15, and guidance on measuring, reporting and verification of nationally appropriate mitigation actions by developing country Parties as agreed by the Conference of the Parties, and in accordance with any future relevant decisions of the Conference of the Parties;
2. *Recognizes* the need to develop capacities for measuring, reporting and verifying anthropogenic forest-related emissions by sources and removals by sinks, forest carbon stocks, and forest carbon stock and forest-area changes resulting from the implementation of the activities referred to in decision 1/CP.16, paragraph 70;
3. *Decides* that the data and information used by Parties in the estimation of anthropogenic forest-related emissions by sources and removals by sinks, forest carbon stocks, and forest carbon stock and forest-area changes, as appropriate to the activities referred to in decision 1/CP.16, paragraph 70, undertaken by Parties, should be transparent, consistent over time and with the established forest reference emission levels and/or forest reference levels in accordance with decision 1/CP.16, paragraph 71(b) and (c) and section II of decision 12/CP.17;
4. *Agrees* that, consistent with decision 12/CP.17, paragraph 7, results from the implementation by Parties of the activities¹ included in decision 1/CP.16, paragraph 70, measured against the forest reference emission levels and/or forest reference levels should be expressed in tonnes of carbon dioxide equivalent per year;
5. *Encourages* Parties to improve data and methodologies over time, while maintaining consistency with the established or, as appropriate, updated, forest reference emission levels and/or forest reference levels in accordance with decision 1/CP.16, paragraph 71(b) and (c);
6. *Recalls* the relevant provisions in decisions 17/CP.8 and 2/CP.17 related to the provision of support for reporting;
7. *Further decides* that, consistent with decision 1/CP.16 and with annex III to decision 2/CP.17, the data and information referred to in paragraph 3 above should be provided through the biennial update reports by Parties, taking into consideration additional flexibility given to least developed countries and small island developing countries;
8. *[[Also decides* that the information reported in accordance with paragraph 7 above will be subject to international consultation and analysis as agreed by the Conference of the Parties;]

¹ As per decision 1/CP.16, paragraph 70, Parties undertake activities as deemed appropriate by each Party and in accordance with their respective capabilities and national circumstances, noting that significant pools and/or activities should not be excluded.

9. *[Requests][Encourages]* developing country Parties seeking to obtain and receive results-based finance to, when submitting the data and information referred to in paragraph 3 above, through the biennial update reports, to supply a technical annex as per paragraph 20 of annex 3 of decision 2/CP.17;
10. *Further decides* that the data and information provided in the technical annex referred to in paragraph 9 above shall be consistent with decisions 4/CP.15 and 12/CP.17 and follow the guidelines provided in the annex to this decision;
11. *Decides* that, upon request of the developing country seeking to obtain and receive payments for results-based actions, [two LULUCF experts from the roster of experts, one each from developing country and developed country Parties]² will be included among the members selected for the technical team of experts.
12. *Further decides* that, as part of the technical analysis referred to in paragraph 4 of Annex 4 of decision 2/CP.17, the technical team of experts shall analyse [whether][the extent to which]:
- (a) There is methodological consistency between the assessed reference level and the results from the implementation of the activities from paragraph 70 of decision 1/CP.16;
 - (b) The data and information provided in the technical annex is transparent, consistent, complete³ and accurate;
 - (c) Is consistent with the guidelines referred to in paragraph 10 above;
 - (d) The results are accurate, to the extent possible.
13. *Decides* that the Party that submitted the technical annex may interact with the technical team of experts during the analysis of its technical annex to clarify issues and provide additional information to facilitate the analysis by the technical team of experts;
14. *{Also decides* that the technical team of experts may seek clarifications from the Party, and that the Party is to provide clarifications on the issues raised to the technical team of experts, in accordance with the timetable of the international consultation and analysis process described in the annex to decision 2/CP.17, paragraph 4;⁵
15. *Further decides* that if the Party and the technical team of experts are unable to reach a common understanding in relation to the clarifications provided, it shall be noted in the summary report of the technical team of experts;⁵
16. *Decides* that the results of the assessment of the technical annex will be included in the summary report of the technical team of experts, as referred to in the annex to decision 2/CP.17, paragraph 4;}⁴
17. *Agrees* that [activities][results-based actions] that may be eligible to appropriate market-based approaches that could be developed by the Conference of the Parties, as per decision 2/CP.17, paragraph 66, [will][may] be subject to any further specific modalities for verification consistent with any decision of the Conference of the Parties on this matter.]]

² FOOTNOTE: not prejudge /ICA consistency

³ Complete here means the provision of information that allows for the reconstruction of the results.

⁴ FOOTNOTE: not intended to prejudge related decisions pending under international consultation and analysis, including those related to the technical team of experts

[Elements for a technical annex

- A. Summary information from the final report the latest assessed reference levels, including:
 - a. The assessed FREL/FRL expressed in tonnes of CO₂e per year
 - b. The activity(ies) included
 - c. The territorial forest area covered
 - d. Date of the reference level submission and date of final technical assessment report
 - e. The period (years) of the assessed reference levels
- B. Results in tonnes of CO₂e per year, consistent with the assessed reference levels.
- C. Demonstration that the results in B are methodologically consistent with the assessed reference level, including:
 - a. Data sets and approaches used (e.g., remotely sensed data, national forest inventory (or equivalent))
 - b. Information on the methods/models¹ and assumptions used,
 - c. The year(s) under consideration
 - d. The territorial forest area covered
 - e. Pools, gases and activity(ies) included
 - f. Definition of forest used
- D. Consistency of the results in B with the corresponding information provided in the national greenhouse inventory;
- E. Description of the institutional roles and responsibilities for measuring, reporting and verifying the results.
- F. Provide all the necessary information that allows for the reconstruction of the results.
- G. Take into account, as appropriate, paragraphs 1(c) and 1(d) in decision 4/CP.15. (the reference to 1(d) addresses the issue of uncertainty)
- H. [how to reflect uncertainties – we think this is covered under 1(d) from decision 4/CP.15]
- I. PROPOSED LANGUAGE - If applicable, any change that leads to an inconsistency with the assessed reference levels, taking into account that these changes may only refer to a decrease in relation to the result that would be otherwise obtained.]

¹ Parties should refer to the IPCC Expert Meeting report on Use of Models

Annex II

[English only]

Elements for a possible draft decision on guidelines and procedures for the technical assessment of submissions from Parties on proposed forest reference emission levels and/or forest reference levels

[The Conference of the Parties,

Reaffirming that, in the context of the provision of adequate and predictable support to developing country Parties, Parties should collectively aim to slow, halt and reverse forest cover and carbon loss, in accordance with national circumstances, consistent with the ultimate objective of the Convention, as stated in its Article 2,

Recognizing that [in the context of the provision of adequate and predictable support to developing country Parties,] developing country Parties aiming to implement the actions listed in decision 1/CP.16, paragraph 70, are responsible for the establishment of their forest reference emission levels and/or forest reference levels,

PLACEHOLDER [on training]

Recalling the provisions of decision 12/CP.17,

1. *Decides* that each submission referred to in decision 12/CP.17, paragraph 13, shall be subject to a technical assessment;
2. *[Adopts* the guidelines and procedures for the technical assessment of submissions from Parties on forest reference emission levels and/or forest reference levels contained in the annex to this decision;]
3. *Invites* Parties, in particular developing country Parties, and, as appropriate, intergovernmental organizations to nominate technical experts with the relevant qualifications to the UNFCCC roster of experts;
4. *[Decides* that proposed forest reference emission levels and/or forest reference levels and the outcomes of the technical assessments shall be considered for possible adoption by the Conference of the Parties at its next session.]
5. *Takes note* of the estimated budgetary implications of the activities to be undertaken by the secretariat pursuant to paragraphs 1 and 2 above;
6. *Requests* that the actions of the secretariat called for in this decision be undertaken subject to the availability of financial resources.

Annex: Guidelines and procedures for the technical assessment of submissions by Parties on proposed forest reference emission levels and/or forest reference levels

Guidelines for technical assessment

Objectives

1. The objectives of the technical assessment are:

Subparagraph (a)

[Option 1]

To assess the degree to which Parties have provided transparent, complete, consistent, and accurate information to support the construction of the forest reference emission levels and/or forest reference levels,]

[Option 2]

To assess the degree to which Parties have provided information in accordance with the guidelines for submissions of information on forest reference emission levels and/or forest reference levels in the annex to decision 12/CP.17 in the construction of the forest reference emission levels and/or forest reference levels,]

Subparagraph (b)

[Option 1]

To provide, as appropriate, technical [recommendations][suggestions][guidance] to the developing country Party,]

[Option 2]

To offer a facilitative, [non-intrusive,] technical exchange of information on the construction of the forest reference emission levels and/or forest reference levels with a view to provide developing country Parties with the capacity for the construction and [continuous] [appropriate future improvement of the forest reference emission levels and/or forest reference levels, subject to national capability and policy][future] improvement of the reference levels [that would be reflected in subsequent submissions of the forest reference emission levels and/or forest reference levels, as appropriate],]

[Option 3]

To offer a facilitative, [non-intrusive,] technical exchange of information on the construction of the reference level with a view to provide developing country Parties with [suggestions, as appropriate,] [the capacity] for the improvement [and/or technical

adjustment] [, as appropriate,] of the reference levels, taking into account national circumstances,]

(c) To provide a technical assessment [to support consideration by the COP at its subsequent session of the forest reference emission level and/or forest reference level to be used],

[Notes that this technical assessment should be facilitative in nature,]

[Scope Option A

2. [A technical assessment of the data, methodologies, assumptions and procedures used in the construction of the forest reference emission level and/or forest reference level of a developing country Party to determine whether it is consistent with the guidelines in the annex to decision 12/CP.17,]

Paragraph 3

[Option 1

Taking into consideration the voluntary basis of submissions of forest reference emission levels and/or forest reference levels, the assessment team will assess the following:]

[Option 2

Taking into consideration the voluntary nature of the activities referred to in decision 1/CP.16, paragraph 70, the assessment of the submissions by Parties on proposed forest reference emission levels and/or forest reference levels by the assessment team will assess the following:]

(b) The extent to which the Party has identified pools, gases and activities included in the forest reference emission level and/or forest reference level and explained the reasons for omitting a pool, a gas or an activity from the forest reference emission level and/or forest reference level and whether the coverage of pools in the forest reference emission level and/or forest reference level is consistent, and justification of why omitted pools were deemed not significant,

(c) The description of approaches, methods and models used in the construction of forest reference emission levels and/or forest reference levels,

(d) The extent to which the forest reference emission level and/or forest reference level value is consistent with the information and descriptions provided by the Party,

(e) The extent to which the information was provided by the Party in a transparent manner,

(f) Whether a description is provided of domestic policies relevant to the construction of the forest reference emission levels and/or forest reference levels and how these policies were used in the construction of the forest reference emission levels and/or forest reference levels,

(g) [Whether confirmation has been provided that the construction of forest reference emission levels and/or forest reference levels do not include assumptions about changes to domestic policies.]

4. As part of the technical assessment, the review process may provide technical recommendations to the developing country Party on the construction of its forest reference emission levels and/or forest reference levels. This may include the recommendation to make a technical revision to elements used in its construction.

5. The assessment team shall refrain from making any judgment on domestic policies taken into account in the construction of forest reference emission levels and/or forest reference levels.]

[Scope Option B

2. A technical assessment of the data, methodologies and procedures used by the developing country Party in the construction of the reference level(s) in accordance with the guidelines in the Annex to Decision 12/CP.17, covering the following:

(a) The extent to which the information used maintained consistency with anthropogenic forest-related greenhouse gas emissions by sources and removals by sinks as contained in the national greenhouse gas inventories [para 8 decision] and/or with historical data [Annex, (a)];

(b) The extent to which the information provided was transparent, complete (FOOTNOTE), consistent and accurate, including methodological information, description of data sets, approaches, methods, models, if applicable, and assumptions used. [Annex, (b)], and whether the reference levels are national or cover less than its entire national territory of forest area [para 11 Decision].

(c) Whether a description of relevant policies and plans has been provided. [Annex, (b)]

(d) If applicable, whether descriptions of changes from previously submitted reference levels are provided, taking into account the stepwise approach (FOOTNOTE PARAGRAPH 10 OF THE DECISION) [Annex, (b)][paragraph 10 Decision]

(e) Pools and gases, and activities included in the reference levels, and justification of why omitted pools and/or activities were deemed not significant. [Annex, (c)]

(f) Definition of forest used and, if different from the one used in the national GHG inventory or from the one reported to other international organizations, an explanation of why and how the definition used was chosen; [Annex, (d)]

3. The assessment team shall refrain from making any judgment on domestic policies.]

Procedures for technical assessment

General procedures

6. Each submission will be technically assessed by an assessment team in accordance with the procedures and timeframes established in these guidelines.

7. Each assessment team will conduct a thorough and comprehensive assessment of the forest reference emission level and/or forest reference level and will prepare a report under its collective responsibility.

8. The technical assessment process will be coordinated by the secretariat. The assessment team will be composed by LULUCF experts selected from the UNFCCC roster

of experts. Participating experts will serve in their personal capacity and will be neither nationals of the Party undergoing the technical assessment, nor funded by that Party.

Composition of the assessment team

9. The assessment team will be composed of at least [two][three] LULUCF experts. The secretariat shall ensure that at least one expert each from a developing and a developed country will be selected from the roster of LULUCF experts.

Timing

10. In order to facilitate the secretariat's work, each Party should confirm to the secretariat, their active experts on the LULUCF roster of experts who will be able to participate in the technical assessment of forest reference emission levels and/or forest reference levels.

11. Assessment sessions will be organized [one] [two] [three] times a year. Submissions received no later than [six] weeks ahead of a session will be assessed at this session. The assessment sessions will take place at a venue designated by the UNFCCC secretariat.

12. The secretariat should forward all relevant information to the assessment team at least [four] weeks before the start of the assessment session.

13. Prior to the assessment session, the assessment team should identify any preliminary issues requiring clarifications from the Party, as appropriate.

14. The Party that submitted the forest reference emission level and/or forest reference level may interact with the assessment team during the assessment session of their submission to clarify issues and provide additional information to facilitate the assessment by the assessment team.

15. The assessment team may seek additional clarifications from the Party no later than [one] week following the assessment session. This may include technical inputs to the Party on the construction of its forest reference emission level and/or forest reference level. The Party is to provide clarifications on the issues raised to the assessment team no later than [five] weeks following the request. As a result of the facilitative process referred above, the Party may modify its submitted forest reference emission level and/or forest reference level in response to the technical inputs of the assessment team.

16. The assessment team will prepare a draft report and make it available to the Party no later than [eight] weeks following the assessment session. The report should include a short summary.

17. The Party will have [three] weeks to respond to the draft report of the assessment team.

18. [If the Party does not agree with the results from the assessment as included in the draft report, in responding to the Party's comments, the assessment team will seek advice from a small group of experienced reviewers to be convened by the secretariat.]

19. The assessment team will prepare a final report within [three] weeks following the Party's response and the report will be sent to the secretariat for publication via the web platform on the UNFCCC website.¹ The final report will contain the technical assessment, technical recommendations, if appropriate, and the responses by the Party and where

¹ <<http://unfccc.int/redd>>.

provided, the advice of the small group of experienced reviewers convened by the secretariat.

20. The secretariat will prepare a synthesis report of the technical assessment process of the forest reference emission levels and/or forest reference levels [for consideration by the COP at the next session after the final report referred to in paragraph 18 above]. The synthesis report will be made publicly available via the web platform on the UNFCCC website.]
