Summary

The Subsidiary Body for Implementation (SBI), at its twenty-third session, invited Parties to provide information to the secretariat on existing activities and programmes, including those of bilateral and multilateral funding sources, to enable the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention (CGE) to report to the SBI, at its twenty-fifth session, on ways to improve access to financial and technical support provided for the preparation of national communications.

The SBI may wish to consider the recommendations of the CGE in preparing guidance on ways and means to improve access to financial and technical support for the preparation of national communications from Parties not included in Annex I to the Convention.

* This document was submitted after the due date as a result of the timing of the meeting of the Consultative Group of Experts.
## CONTENTS

<table>
<thead>
<tr>
<th>Paragraphs</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>I. INTRODUCTION ..........................................................</td>
<td>1–2 3</td>
</tr>
<tr>
<td>A. Mandate ...........................................................................</td>
<td>1 3</td>
</tr>
<tr>
<td>B. Scope .............................................................................</td>
<td>2 3</td>
</tr>
<tr>
<td>II. BACKGROUND .....................................................................</td>
<td>3 3</td>
</tr>
<tr>
<td>III. FRAMEWORK FOR THE PROVISION OF SUPPORT TO NON-ANNEX I PARTIES FOR THE PREPARATION OF NATIONAL COMMUNICATIONS</td>
<td>4–5 3</td>
</tr>
<tr>
<td>IV. DELIVERY OF FINANCIAL AND TECHNICAL SUPPORT ...........</td>
<td>6–17 4</td>
</tr>
<tr>
<td>A. Mechanisms in place to deliver financial and technical assistance ...........................................</td>
<td>6–13 4</td>
</tr>
<tr>
<td>B. Support provided directly by Parties included in Annex II to the Convention ................................</td>
<td>14–16 7</td>
</tr>
<tr>
<td>C. Other entities providing financial and technical assistance.......................................................</td>
<td>17 8</td>
</tr>
<tr>
<td>V. ISSUES IDENTIFIED AS IMPORTANT FOR THE DELIVERY OF SUPPORT .............................................</td>
<td>18–19 9</td>
</tr>
<tr>
<td>VI. WAYS OF IMPROVING ACCESS TO FINANCIAL AND TECHNICAL SUPPORT FOR PREPARING NATIONAL COMMUNICATIONS</td>
<td>20 11</td>
</tr>
</tbody>
</table>
I. Introduction

A. Mandate

1. The Subsidiary Body for Implementation (SBI), at its twenty-third session, invited Parties to provide information to the secretariat on existing activities and programmes, including those of bilateral and multilateral funding sources, to enable the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention (CGE) to report to the SBI at its twenty-fifth session on ways to improve access to financial and technical support provided for the preparation of national communications (FCCC/SBI/2005/23, para. 30). The SBI, at its twenty-fourth session, reiterated its request to Parties and relevant international organizations to submit to the secretariat, by 4 August 2006, information on their activities relating to the preparation of national communications, for compilation into a miscellaneous document for consideration by the SBI at its twenty-fifth session (FCCC/SBI/2006/11, para. 41).

B. Scope

2. This document assesses multilateral and bilateral sources of and processes for the delivery of financial and technical support for second and subsequent national communications from Parties not included in Annex I to the Convention (non-Annex I Parties) including the related studies and activities, such as research and systematic observation.

II. Background

3. This assessment by the CGE is intended to formulate and present practical recommendations on ways to facilitate improved access to financial and technical support for preparing national communications, bearing in mind that most countries are embarking on the preparation of their second national communication. As at 2 October 2006, 132 initial national communications and three second national communications have been submitted to the secretariat. Information received from the National Communications Support Programme (NCSP), a project of the Global Environment Facility (GEF), the United Nations Development Programme (UNDP) and the United Nations Environment Programme (UNEP)\(^1\), indicates that 130 non-Annex I countries are currently involved in the different stages of the preparation of their initial national communications and third national communications, as appropriate. Out of this number, 87 are preparing or initiating the second national communications and 12 have submitted their proposals for second national communications to the implementing agencies of the GEF for approval. In addition, 31 countries are involved in the self-assessment exercise.

III. Framework for the provision of support to non-Annex I Parties for the preparation of national communications

4. Article 12, paragraph 7, of the Convention provides the basis for technical and financial support of non-Annex I countries in developing their national communications. This article addresses the communication of information relating to implementation of the Convention and states that “From its first session, the Conference of the Parties shall arrange for the provision to developing country Parties of technical and financial support, on request, in compiling and communicating information under this

\(^1\) Based on the paper entitled Technical Support Activities undertaken by the National Communication Support Programme (NCSP) prepared as input to the seventh meeting of the CGE held in Pretoria, South Africa, from 25 to 26 September 2006.
Article, as well as in identifying the technical and financial needs associated with proposed projects and response measures under Article 4. Such support may be provided by other Parties, by competent international organizations and by the secretariat, as appropriate.”

5. Pursuant to Article 12, paragraph 7, the Conference of the Parties (COP) adopted a number of decisions to address the availability and distribution of and access to financial and technical assistance, as well as guidance to non-Annex I Parties for the preparation of national communications (see box 1). In particular, decision 17/CP.8 provides the guidelines for the preparation of national communications from non-Annex I Parties.

IV. Delivery of financial and technical support

A. Mechanisms in place to deliver financial and technical assistance

6. There are three major institutions, organizations or projects that represent the basis for the provision of financial and technical support to non-Annex I Parties for the preparation of their national communications. The GEF serves as an operating entity of the financial mechanism of the COP for the disbursement of financial assistance. The NCSP provides non-Annex I Parties with technical and policy support to enhance their capacity with regard to climate change. Implementing agencies – i.e., UNDP, UNEP and the World Bank have an implementation role in the coordination of financial and technical assistance. The CGE has the objective of improving the process of preparation of the second and subsequent national communications by providing technical advice and support to non-Annex I Parties.

<table>
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<tr>
<th>Box 1: Major decisions by the Conference of the Parties relating to financial and technical assistance for the preparation of national communications</th>
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</thead>
<tbody>
<tr>
<td>Decision 17/CP.8</td>
</tr>
<tr>
<td>Decision 6/CP.8</td>
</tr>
<tr>
<td>Decision 3/CP.8</td>
</tr>
<tr>
<td>Decision 32/CP.7</td>
</tr>
<tr>
<td>Decision 31/CP.7</td>
</tr>
<tr>
<td>Decision 10/CP.7</td>
</tr>
<tr>
<td>Decision 7/CP.7</td>
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<td>Decision 2/CP.4</td>
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<tr>
<td>Decision 12/CP.2</td>
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<tr>
<td>Decision 11/CP.2</td>
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<td>Decision 10/CP.2</td>
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<td>Decision 11/CP.1</td>
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</table>
1. The Global Environment Facility and its implementing agencies

7. Article 21 of the Convention states that the operation of the financial mechanism referred to in Article 11 will be entrusted to the GEF. Decisions taken by the COP in several sessions have provided guidance to the GEF on funding modalities, and have directed that priority be given to the support of national communications. In response to guidance from the COP, the GEF has developed the following guidelines for the delivery of financial and technical assistance.

(a) Operational criteria for enabling activities: this document was developed during 1995–96 and proposed four criteria for expediting access to GEF funding (i.e., coverage without duplication, appropriate overall sequencing, good practice and cost-effectiveness) for the preparation of initial national communications of non-Annex I Parties. Funding under “expedited procedures” was USD 350,000 maximum per country. GEF funding following full project cycle procedures was also made available for the preparation of initial national communications.

(b) Operational Guidelines for Expedited Procedures – Part II: this document was developed in 1999 and supported interim measures for capacity-building in priority areas in non-Annex I Parties (add-ons or top-ups), typically about USD 100,000 per country.

(c) Funding for the national adaptation programme of action (NAPA): Funding based on the guidelines for the preparation of NAPAs (decision 28/CP.7) is typically about USD 220,000. The COP, by its decision 5/CP.7, decided that support should be provided for the development, by the least developed countries, of NAPAs which will serve as a simplified and direct channel of communication of information relating to the vulnerabilities and adaptation needs of the least developed countries.

(d) Financing for national communications (second or subsequent): Under GEF expedited procedures, USD 420,000 per country is currently available. This funding includes USD 15,000 for self-assessment exercises to prepare second national communications project proposals. The self-assessment exercises seek to enhance country ownership of the national communication process, which involves stocktaking of previous relevant activities (e.g. analysis of the initial national communication, NAPAs, related studies, ongoing relevant initiatives) and extensive consultations with stakeholders. GEF funding following full project cycle procedures is also available for the preparation of national communications.

8. UNDP, UNEP and the World Bank are the key implementing agencies for the preparation of national communications through the administration of most enabling activities. Of these organizations, UNDP is responsible for the implementation of most enabling activities. The implementing agencies, together with the other institutions described in this section, play important roles in the development and approval of enabling activity proposals relating to climate change.

2. The National Communication Support Programme

9. The first phase of the NCSP was launched by GEF in 1998 to provide non-Annex I Parties with technical and policy support to enhance their capacity with regard to climate change. It was established with the objective of improving the quality, comprehensiveness and timely delivery of initial communications from non-Annex I Parties. Following the positive evaluation of the first phase of the NCSP, a second phase was funded by the GEF and launched in June 2005 to provide technical and policy relevant support to non-Annex I Parties for the preparation of second, third, or initial, as appropriate,
national communications. Major support activities undertaken by the current phase of the NCSP include:

(a) Guidance on the planning and management of the second national communications process;
(b) Preparation and dissemination of technical and policy-relevant guidance documents;
(c) Provision of distance and on-site technical backstopping;
(d) Identification and dissemination of best practices from country experiences;
(e) Facilitation of online discussions and learning;
(f) Technical review of draft national communications and sectoral technical reports;
(g) Workshops on the initiation of the second national communications process and on thematic areas;
(h) Targeted hands-on training for specific components of the national communication, on the basis from countries requests.

3. The Consultative Group of Experts on National Communications from non-Annex I Parties

10. The CGE was established by the COP at its fifth session (decision 8/CP.5). At its eighth session, the COP reviewed the terms of reference of the CGE. In recognition of the helpful role that the CGE has played in assisting non-Annex I Parties to improve the process of the preparation of their national communications, the COP decided to continue the mandate of the CGE and revised its terms of reference (decision 3/CP.8). Under its new mandate, the objective of the CGE is to improve the process of the preparation of the second and subsequent national communications, by providing technical advice and support to non-Annex I Parties. Specific activities include the following:

(a) Identify and assess technical problems and constraints that have affected the preparation of initial national communications by non-Annex I Parties that have yet to complete them;
(b) Identify and assess, as appropriate, the difficulties encountered by non-Annex I Parties in the use of the guidelines and methodologies for the preparation of national communications and make recommendations for their improvement;
(c) Examine national communications submitted to the secretariat, in particular the description of analytical and methodological issues, including technical problems and constraints in the preparation and reporting of greenhouse gas (GHG) inventories, mitigation activities, vulnerability and adaptation (V&A) assessments and other information, with a view to improving the consistency of the information provided, data collection, the use of local and regional emission factors and activity data and the development of methodologies;
(d) Provide technical advice and support, by organizing and conducting workshops, including hands-on training workshops at the regional or subregional level, on national GHG inventories, V&A and mitigation, as well as training on the use of the guidelines for the preparation of second and subsequent national communications by non-Annex I Parties;
(e) Review existing activities and programmes, including those of multilateral and bilateral funding sources, to facilitate and support the preparation of second and subsequent national communications by non-Annex I Parties;

(f) Provide technical advice to the SBI on matters relating to the implementation of the Convention by non-Annex I Parties;

(g) Develop the agenda for workshops and meetings with the assistance of the secretariat, to ensure adequate coverage of issues identified in the mandate. Experts and resource persons at these workshops will be drawn from the roster of experts. If deemed necessary, other experts of international standing may be invited.

11. The CGE is composed of 24 members representing the following: five members each from Africa, Asia and the Pacific, and Latin America and the Caribbean; six members from Annex I Parties; one member each from three international organizations. To facilitate its work, the CGE set up the following four thematic groups: national GHG inventories; V&A assessments; mitigation; and cross-cutting issues, which include research and systematic observation, technology transfer, capacity-building, education, training and public awareness, information and networking, and financial and technical support.

12. The activities of the CGE have included examining national communications of non-Annex I Parties; conducting regional hands-on training workshops on GHG inventories, V&A assessments and mitigation assessments in the context of the preparation of national communications; and preparing technical reports to the SBI on, for example, improving access to financial and technical support for the preparation of national communications. The CGE is presently implementing its work programme for the period 2003–2007.

13. In providing technical support to non-Annex I Parties, the CGE has conducted one global (mitigation) and six regional (V&A and national GHG inventories) hands-on training workshops since its establishment. This represents a total of 325 experts from 125 non-Annex I Parties that have been trained.

B. Support provided directly by Parties included in Annex II to the Convention

14. Article 4 of the Convention covers the assistance that Parties included in Annex II to the Convention (Annex II Parties) should provide for completing activities reported in national communications and to countries particularly vulnerable to climate change. It also includes technical assistance in areas such as capacity strengthening and technology transfer of environmentally sound technologies.

15. Annex II Parties consider national communications as the key source of information on climate change in developing countries since they provide important information on activities and programmes addressing climate change and strategies to reduce climate change risks, as well as information on capacity-building efforts and needs.

16. There are several examples (the number continues to grow) in which Annex II Parties are directly providing technical support in addition to other avenues of funding. Technical support from Annex I Parties is provided in a number of forms, as outlined in table 1. In almost all cases, this support is technical in nature and provided with the objective of promoting a greater awareness of and stronger research capability in the various areas of climate change study (i.e., GHG inventories, GHG mitigation analysis and V&A assessments). It is also relevant to the preparation of national communications and for strengthening institutional and human capacity.
Table 1. Support provided by Annex II Parties for the national communications process of non-Annex I Parties

<table>
<thead>
<tr>
<th>Type of technical assistance</th>
<th>Examples of projects</th>
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<tbody>
<tr>
<td>Institutional capacity-building of agencies/organizations</td>
<td>• Help in drafting applications for GEF funding &lt;br&gt; • Establishing institutional infrastructure for preparation of second national communications</td>
</tr>
<tr>
<td>Human resource development of national experts</td>
<td>• Supporting experts to examine national communications from non-Annex I Parties &lt;br&gt; • Supporting climate change studies targeting national experts/institutions &lt;br&gt; • Funding training courses on climate change strategies</td>
</tr>
<tr>
<td>Database development (GHG inventory, V&amp;A, mitigation)</td>
<td>• Helping Parties to rescue climate records</td>
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<tr>
<td>Greenhouse gas inventory</td>
<td>• Helping Parties develop capacity to measure carbon emissions and sequestration from land-based systems</td>
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<tr>
<td>Assessment of V&amp;A measures</td>
<td>• Contributing to climate change monitoring projects &lt;br&gt; • Establishing pilot projects to demonstrate practical adaptation initiatives</td>
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<tr>
<td>Assessment of mitigation options</td>
<td>• Contributing to CGE mitigation training workshops &lt;br&gt; • Encouraging and organizing participation of experts</td>
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<tr>
<td>Research and systematic observation, including meteorological, hydrological and climatological services</td>
<td>• Setting up a regional climate information system &lt;br&gt; • Strengthen regional capacity to monitor and analyse land cover/land-use change</td>
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<tr>
<td>Education, training and public awareness</td>
<td>• Contributing to Article 6 of the Convention regional workshops &lt;br&gt; • Contributing to the development and implementation of the information network clearing house CC:iNet &lt;br&gt; • Hosting side events at COPs highlighting assistance from Annex I Parties, co-benefits of climate observations for decision-making and examples of local capacity-building &lt;br&gt; • Stakeholder mobilization</td>
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<td>Technology needs assessments; implementation plan</td>
<td>• Identification of policies and technologies that reduce both local air pollution and the emissions of greenhouse gases &lt;br&gt; • New technologies through promotion of environmentally sustainable trade &lt;br&gt; • Renewable energy and energy efficiency partnerships</td>
</tr>
<tr>
<td>Information networking</td>
<td>• Regional networking on improvement of quality of GHG inventories &lt;br&gt; • Establishing region-focused adaptation research &lt;br&gt; • Convening of workshops to exchange of information and build regional networks &lt;br&gt; • Advance of knowledge, capacity and networking in Africa</td>
</tr>
<tr>
<td>Development of national climate change programmes</td>
<td>• Examination of international experience and development of best practices relevant to non-Annex I Parties, help in developing national climate change programmes</td>
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<tr>
<td>Exchange of information among agencies</td>
<td>• Holding joint discussions on climate change (non-Annex I and Annex I Parties)</td>
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C. Other entities providing financial and technical assistance

17. There are several other multilateral organizations that provide relevant technical and financial support relating to the development of national communications. The Food and Agricultural Organization of the United Nations, the World Health Organization and the United Nations Institute for Training and Research provide primarily technical support such as the provision of databases and/or training, as well as other forms of information and tools for preparing GHG inventories, V&A assessments and mitigation assessments as input to the national communications. Examples of programmes and initiatives conducted by these entities are presented in table 2.
Table 2. Details of financial and technical assistance by various multilateral organizations

<table>
<thead>
<tr>
<th>Multilateral organizations</th>
<th>Financial assistance</th>
<th>Technical assistance</th>
<th>Examples of programmes</th>
</tr>
</thead>
</table>
| United Nations Environment Programme | ✓ | ✓ | • Country case studies of sources and sinks of greenhouse gases  
• Economics of greenhouse gas limitations  
• Country studies on climate change impacts and adaptation assessments  
• Risoe Centre on Energy Climate and Sustainable Development |
| United Nations Development Programme | ✓ | ✓ | • NCSP  
• Asia Least-cost Greenhouse Gas Abatement Strategy  
• Building Capacity in Mahgreb/Sub-Saharan Africa  
• China: greenhouse gas Emissions Control Study  
• India: cost-effective options for limiting greenhouse gas Emissions |
| United Nations Institute for Training and Research | ✓ | ✓ | • Climate Change Capacity Development–Collaborative Platform (CSD)  
• Advancing Capacity to Support Climate Change Adaptation  
• CC: Train  
• Certificate training courses for vulnerability and adaptation  
• Policy development workshops  
• Technical workshops |
| Food and Agriculture Organization of the United Nations | ✓ | | • Capacity-building workshops and seminars on afforestation and reforestation and clean development mechanisms |
| World Bank | ✓ | | • Training programmes for climate change specialists  
• World Development Indicators online database |
| World Health Organization | ✓ | | • Environmental Burden of Disease tools |

V. Issues identified as important for the delivery of support

18. Based on information provided in the compilation and synthesis reports of national communications and CGE reports to the SBI, the following issues were addressed by non-Annex I Parties as areas requiring financial and technical support:2

(a) Institutional capacity-building: financial and technical assistance relative to the needs for capacity strengthening of national agencies and organizations that are expected to be involved in the preparation of subsequent national communications;

(b) Human resources and development of national experts: financial and technical assistance relative to the needs for capacity strengthening of national consultants, experts and specialists that are expected to be involved in preparation of national communications;

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2 See the Sixth compilation and synthesis of initial national communications from Parties not included in Annex I to the Convention (FCCC/SBI/2005/18 and Adds.1–6).
(c) Databases: the establishment and management of technical and administrative databases that could be used during the preparation of second and subsequent national communications;

(d) GHG inventories: financial and technical assistance for the development of the GHG inventories of sources and sinks of GHG emissions, including emission factors;

(e) V&A assessments: financial and technical assistance for the application and analysis of methods and tools for V&A assessments;

(f) Assessment of mitigation options: technical assistance for the application and analysis of methods and tools for assessing the GHG reduction and cost aspects of technologies for reducing GHG emissions;

(g) Implementation of mitigation: technical assistance in the formulation of projects and the identification of technologies for reducing GHG emissions;

(h) Research and systematic observation: financial and technical assistance for developing and maintaining the capacity necessary for conducting ongoing research and systematic observation regarding climate change;

(i) Education, training, and public awareness: technical assistance for developing strategies to raise national awareness of climate change issues and challenges;

(j) Technology needs assessments and development of implementation plan: financial and technical assistance for scoping out the potential technologies that may be most appropriate for meeting GHG mitigation and climate change adaptation objectives;

(k) Information networking: support for maintaining central and readily accessible repositories of information needed to carry out climate change related studies and assessments;

(l) Development of national climate change programmes: support for developing national climate change programmes and initiatives that are coordinated across ministries and agencies;

(m) Exchange of information: support for ensuring that national specialists are able to have the opportunity to participate in information exchange networks.

Other key issues/problems faced in providing assistance

19. In order to understand the full range of issues that affect the delivery of financial and technical support for the preparation of national communications from non-Annex I Parties, representatives from the NCSP and from some Annex II Parties were consulted. In addition, the UNFCCC secretariat conducted a survey using questionnaires targeting non-Annex I Parties, Annex II Parties and multilateral agencies. There are a number of policy-relevant messages that emerge from these consultative processes as summarized below.

(a) Communication: the NCSP noted that it continues to encounter difficulties in assessing and understanding the specific needs relating to technical assistance, due in large part to country responses that are sometimes vague or not sufficiently detailed;

(b) Response time: the NCSP identified two types of delay which constrain the effectiveness of delivering technical assistance: delay in the preparation of project proposals after funds for self-assessments have been provided to countries; and delay at the national
level to initiate the preparation of the national communications after the implementing agency has approved the proposal;

(c) Capacity: the NCSP indicated that technical capacity in many countries to submit second national communications of good quality still needs to be strengthened.

This suggests a need to move toward a critical examination and identification of strategies to address specific problem areas such as the inefficiency of national agency coordination, difficulties in self-assessment, and a strengthening of institutional commitment. This would help to harmonize the funding expectations of non-Annex I Parties with the project funding criteria used by donors.

VI. Ways of improving access to financial and technical support for preparing national communications

20. The CGE identified the following issues as important for improving access to financial and technical support for the national communication process.

(a) Pursue linkages to poverty reduction and sustainable development: work on national communications should support environmental initiatives that strengthen the implementation of poverty reduction strategies and sustainable development in gaining greater acceptance. Hence, components of national communications should explicitly explore linkages between poverty, environment and climate change. Once development goals are properly taken into account, synergies between climate oriented and development oriented actions may be achieved. In particular issues related to livelihood strategies and food security assume paramount importance. In this regard, and recognizing that institutional arrangements vary from country to country, strong ties between the focal point for climate change and ministries and institutions charged with setting policies and plans, as well as sectoral goals including implementing agencies, are a necessary condition for mainstreaming climate change concerns into policy dialogues and can be viewed as leverage for attracting bilateral support for national communications activities.

(b) Emphasize in-county continuity: recognizing that non-Annex I Parties highlighted the fact that maintaining continuity in climate change activities is very important and that gaps that can emerge between the completion of one communication and the start of the next set of climate change related activities, steps should be taken to institutionalize the national communication process in non-Annex I Parties, to ensure, among other things, continuity in the preparation of the various elements of the national communication. Permanent national institutional structures and cross-sectoral cooperation should be established for the preparation of national communications, which are “kept alive” after completion of the second national communications. In some cases, enhancing the technical capacity, continuity and profile of national focal points may be required.

(c) Continuity of funding: institutional structures and cross-sectoral cooperation established during the preparation process of the national communication can be maintained only if the supporting financial infrastructure is continuously in place. It will therefore be important for the COP to take up funding decisions early on in the national communications process so that funding is firmly in place well before the subsequent communication process actually begins.

(d) Reduce the time required for the various steps to access GEF funding for preparing national communications: A number of Parties consulted emphasized the importance of
addressing the length of time it has taken for non-Annex I Parties to complete their initial national communications. It would be desirable to shorten the process from self-assessment to submission, with subsequent communications commencing shortly thereafter. This would serve to both sustain the momentum achieved for climate change activities and help to keep the technical and management team intact.

(e) **Reduce response time:** a number of countries indicated the dimensions of enhanced continuity, strong focal points and national engagement would be better served if the response time between proposal submission and release of funding to commence activities were shortened. There needs to be an expedited process for revisions of project proposals, while keeping the process of formulating and executing project proposals flexible and simple.

(f) **Maximize synergy:** many Annex II Parties are already engaged in a variety of training programmes and courses that are linked with components of national communications. The training activities involved in the communications process could be coordinated among the providers of training to take advantage of these offerings.

(g) **Emphasize training of trainers:** non-Annex I Parties highlighted the fact that training of national experts is a high priority and one that needs to be emphasized in future strategic direction for financial and technical support. Reliance on international experts should be avoided where possible. The role of training local trainers should both continue and receive greater attention in the future.

(h) **Enhance multilateral agency coordination:** some countries have proposed that a multilateral forum should be established to improve the coordination of technical assistance to non-Annex I Parties for the preparation of second and subsequent national communications.

(i) **Address recruitment shortfalls:** there is a perceived inability to recruit experts on a full time basis for the preparation of the national communication. The expertise required is typically available only from academic and technical institutions. But, being full time staff members of these institutions, they are able to contribute limited time for national communication activities. Shortening the project cycle and ensuring continuity would help to address this issue.

(j) **Facilitate information sharing:** develop and maintain an international database of climate change related training initiatives available in donor countries. A well-developed database would help donors to plan assistance programmes more effectively and recipients to take greater advantage of synergies between the opportunities of support to national communications process, such as Annex II Party training initiatives. To this end, the CGE intends to develop, in consultation with the secretariat, and subject to the availability of financial resources, a dedicated site within the existing secretariat website that would provide for the dissemination of information on assistance provided by bilateral and multilateral support programmes for the preparation of national communications.

(k) **Make translated technical documents available:** some non-Annex I Parties highlighted the fact that too much of the technical material (e.g., methods, tools, handbooks, software, manuals, etc) that is essential for undertaking technical analyses is available

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3 See FCCC/SBI/2003/8, paragraph 57(f).
only in English. Additional funds should be made available for translating key technical guidance documents into all six United Nations languages.

(1) **Emphasize quality**: strengthened support could be provided to assist non-Annex I Parties in the preparation of the national communication if there was a relatively clear set of criteria for what constitutes a high quality product. At present, the quality of national communication vary considerably, even allowing for the fact that vulnerability, adaptation and other assessments may vary from country to country. A clearer understanding of the quality requirements would boost the confidence that the provision of assistance will translate directly into a measurable achievement.

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