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气候变化框架公约

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缔约方会议

缔约方会议第十九届会议报告，2013年11月11日至23日
在华沙举行

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第二部分：缔约方会议第十九届会议采取的行动

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第 24/CP.19 号决定

修订《公约》附件一所列缔约方年度清单报告指南

缔约方会议，

回顾《公约》第四条第 1 款、第十条第 2 款和第十二条第 1 款，

还回顾第 3/CP.5 号、第 18/CP.8 号、第 13/CP.9 号、第 14/CP.11 号和 15/CP.17 决定，

注意到需要更新第 3/CP.5 号决定通过、后经第 18/CP.8 号和第 14/CP.11 号决定修改和补充的经修订的“《公约》附件一所列缔约方国家信息通报编制指南：第一部分：《气候公约》年度清单报告指南”，以纳入“2006 年气专委国家温室气体清单报告指南”，

1. 通过附件一所载经修订的“《公约》附件一所列缔约方国家信息通报编制指南：第一部分：《气候公约》年度清单报告指南”、附件二所载经修订的通用报告格式表格，以及附件三所载全球升温潜能值；

2. 决定，从 2015 年起直到缔约方会议通过进一步决定为止，《公约》附件一所列缔约方(附件一缔约方)用以计算温室气体人为源排放量和汇清除量的二氧化碳当量的全球升温潜能值，应是政府间气候变化专门委员会第一工作组对气专委第四次评估报告所提供材料的勘误表 2.14 中题为“特定时间跨度全球升温潜能值”一栏所列以 100 年时间跨度的温室气体效为依据的数值，如附件三所载；

3. 还决定，在升级版通用报告格式报告软件按以下第 5 段要求提供后，附件一缔约方应从 2015 年开始使用以上第 1 段所述指南编制每年 4 月 15 日前提交的温室气体清单。如果秘书处无法按照下文第 5 段要求提供“通用报告格式报告软件”，各缔约方可在 4 月 15 日之后提交通用报告格式表格，但不应晚于通用报告格式报告软件准备就绪的相应时间。

4. 鼓励附件一缔约方使用《2006 年气专委国家温室气体清单指南的 2013 年增编：湿地》编制 2015 年及以后到期的《公约》之下的国家温室气体清单；

5. 请秘书处最迟于 2014 年 6 月前向附件一缔约方提供升级版通用报告格式表格软件，以使它们能够在到期日 2015 年 4 月 15 日前提交温室气体清单；

6. 请有能力的附件一缔约方为完成通用报告格式表格软件的升级提供补充资金；

7. 注意到秘书处开展以上第 5 段所述活动所涉概算问题；

8. 请秘书处在具备资金的情况下，开展本决定要求的行动。

Annex I

[English only]

Guidelines for the preparation of national communications by Parties included in Annex I to the Convention, Part I: UNFCCC reporting guidelines on annual greenhouse gas inventories**Contents**

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I. Introduction

A. Mandate

1. The Conference of the Parties (COP), by decision 24/CP.19, adopted the “Guidelines for the preparation of national communications by Parties included in Annex I to the Convention, Part I: UNFCCC reporting guidelines on annual greenhouse gas inventories” (UNFCCC Annex I inventory reporting guidelines) and tables of the common reporting format to implement the use of the *2006 IPCC Guidelines for National Greenhouse Gas inventories* (2006 IPCC Guidelines).

B. Scope of the note

2. This document contains the complete updated UNFCCC Annex I inventory reporting guidelines for all inventory sectors. The UNFCCC Annex I reporting guidelines on annual greenhouse gas inventories have been updated to reflect the implementation of the use of the 2006 IPCC Guidelines.

II. Guidelines for the preparation of national communications by Parties included in Annex I to the Convention, Part I: UNFCCC reporting guidelines on annual greenhouse gas inventories

A. Objectives

1. The “Guidelines for the preparation of national communications by Parties included in Annex I to the Convention, Part I: UNFCCC reporting guidelines on annual greenhouse gas inventories” (hereinafter referred to as the UNFCCC Annex I inventory reporting guidelines) cover the estimation and reporting of anthropogenic¹ greenhouse gas (GHG) emissions and removals in both annual GHG inventories and inventories included in national communications, as specified by decision 11/CP.4 and other relevant decisions of the COP.

2. The objectives of the UNFCCC Annex I inventory reporting guidelines are:

(a) To assist Parties included in Annex I to the Convention (Annex I Parties) in meeting their commitments under Articles 4 and 12 of the Convention;

(b) To contribute to ensuring the transparency of emission reduction commitments;

(c) To facilitate the process of considering annual national inventories, including the preparation of technical analysis and synthesis documentation;

(d) To facilitate the process of verification, technical assessment and expert review of the inventory information;

(e) To assist Annex I Parties in ensuring and/or improving the quality of their annual GHG inventory submissions.

¹ Any reference to GHG emissions and removals in the guidelines shall be understood as anthropogenic GHG emissions and removals.

B. Principles and definitions

3. The annual GHG inventory should be transparent, consistent, comparable, complete and accurate.

4. In the context of these UNFCCC Annex I inventory reporting guidelines:

(a) *Transparency* means that the data sources, assumptions and methodologies used for an inventory should be clearly explained, in order to facilitate the replication and assessment of the inventory by users of the reported information. The transparency of inventories is fundamental to the success of the process for the communication and consideration of the information. The use of the common reporting format (CRF) tables and the preparation of a structured national inventory report (NIR) contribute to the transparency of the information and facilitate national and international reviews;

(b) *Consistency* means that an annual GHG inventory should be internally consistent for all reported years in all its elements across sectors, categories and gases. An inventory is consistent if the same methodologies are used for the base and all subsequent years and if consistent data sets are used to estimate emissions or removals from sources or sinks. Under certain circumstances referred to in paragraphs 16 to 18 below, an inventory using different methodologies for different years can be considered to be consistent if it has been recalculated in a transparent manner, in accordance with the *2006 IPCC Guidelines for National Greenhouse Gas Inventories* (hereinafter referred to as the 2006 IPCC Guidelines);

(c) *Comparability* means that estimates of emissions and removals reported by Annex I Parties in their inventories should be comparable among Annex I Parties. For that purpose, Annex I Parties should use the methodologies and formats agreed by the COP for making estimations and reporting their inventories. The allocation of different source/sink categories should follow the CRF tables provided in annex II to decision 24/CP.19 at the level of the summary and sectoral tables;

(d) *Completeness* means that an annual GHG inventory covers at least all sources and sinks, as well as all gases, for which methodologies are provided in the 2006 IPCC Guidelines or for which supplementary methodologies have been agreed by the COP. Completeness also means the full geographical coverage of the sources and sinks of an Annex I Party;²

(e) *Accuracy* means that emission and removal estimates should be accurate in the sense that they are systematically neither over nor under true emissions or removals, as far as can be judged, and that uncertainties are reduced as far as practicable. Appropriate methodologies should be used, in accordance with the 2006 IPCC Guidelines, to promote accuracy in inventories.

5. In the context of these reporting guidelines, the definitions of common terms used in GHG inventory preparation are those provided in the 2006 IPCC Guidelines.

C. Context

6. The UNFCCC Annex I inventory reporting guidelines also cover the establishment and maintenance of national inventory arrangements for the purpose of the continued preparation of timely, complete, consistent, comparable, accurate and transparent annual GHG inventories.

² According to the instrument of ratification, acceptance, approval or accession to the Convention of each Annex I Party.

7. An annual GHG inventory submission shall consist of an NIR and the CRF tables, as set out in annexes I and II to decision 24/CP.19. The annual submission also comprises information provided by an Annex I Party in addition to its submitted NIR and CRF tables.

D. Base year

8. The year 1990 should be the base year for the estimation and reporting of inventories. According to the provisions of Article 4, paragraph 6, of the Convention and decisions 9/CP.2, 11/CP.4 and 7/CP.12, the following Annex I Parties that are undergoing the process of transition to a market economy are allowed to use a base year or a period of years other than 1990, or a level of emissions as established by a decision of the COP, as follows:

Bulgaria:	1988
Croatia:	1990 ³
Hungary:	the average of the years 1985 to 1987
Poland:	1988
Romania:	1989
Slovenia	1986

E. Methods

Methodology

9. Annex I Parties shall use the methodologies provided in the 2006 IPCC Guidelines, unless stated otherwise in the UNFCCC Annex I inventory reporting guidelines, and any supplementary methodologies agreed by the COP, and other relevant COP decisions to estimate anthropogenic emissions by sources and removals by sinks of GHGs not controlled by the Montreal Protocol.

10. Annex I Parties may use different methods (tiers) contained in the 2006 IPCC Guidelines, prioritizing these methods in accordance with the 2006 IPCC Guidelines. Annex I Parties may also use national methodologies which they consider better able to reflect their national situation, provided that these methodologies are compatible with the 2006 IPCC Guidelines and are well documented and scientifically based.

11. For categories⁴ that are determined to be key categories, in accordance with the 2006 IPCC Guidelines, and estimated in accordance with the provisions in paragraph 14 below, Annex I Parties should make every effort to use a recommended method, in accordance with the corresponding decision trees in the 2006 IPCC Guidelines. Annex I Parties should also make every effort to develop and/or select emission factors (EFs), and collect and select activity data (AD), in accordance with IPCC good practice. Where national circumstances prohibit the use of a recommended method, then the Annex I Party shall explain in its annual GHG inventory submission the reason(s) as to why it was unable to implement a recommended method in accordance with the decision trees in the 2006 IPCC Guidelines.

³ In accordance with decision 7/CP.12.

⁴ The term “categories” refers to both source and sink categories as set out in the 2006 IPCC Guidelines. The term “key categories” refers to the key categories as addressed in the 2006 IPCC Guidelines.

12. The 2006 IPCC Guidelines provide default methodologies which include default EFs and in some cases default AD for the categories to be reported. As the assumptions implicit in these default data, factors and methods may not be appropriate for specific national circumstances, Annex I Parties should use their own national EFs and AD, where available, provided that they are developed in a manner consistent with the 2006 IPCC Guidelines and are considered to be more accurate than the defaults. If Annex I Parties lack country-specific information, they could also use EFs or other parameters provided in the IPCC Emission Factor Database, where available, provided that they can demonstrate that those parameters are appropriate in the specific national circumstances and are more accurate than the default data provided in the 2006 IPCC Guidelines. Annex I Parties shall transparently explain in their annual GHG inventory submissions what data and/or parameters have been used.

13. Parties are encouraged to refine estimates of anthropogenic emissions and removals in the land use, land-use change and forestry (LULUCF) sector through the application of tier 3 methods, provided that they are developed in a manner consistent with the 2006 IPCC Guidelines, and information for transparency is provided in accordance with paragraph 50(a) below.

Key category identification

14. Annex I Parties shall identify their key categories for the base year and the latest reported inventory year, using approach 1, level and trend assessment, including and excluding LULUCF. Parties are encouraged to also use approach 2 and to add additional key categories to the result of approach 1.

Uncertainties

15. Annex I Parties shall quantitatively estimate the uncertainty of the data used for all source and sink categories using at least approach 1, as provided in the 2006 IPCC Guidelines, and report uncertainties for at least the base year and the latest inventory year and the trend uncertainty between these two years. Annex I Parties are encouraged to use approach 2 or a hybrid of approaches 1 and 2 provided in the 2006 IPCC Guidelines, in order to address technical limitations of approach 1. The uncertainty of the data used for all source and sink categories should also be qualitatively discussed in a transparent manner in the NIR, in particular for categories that were identified as key categories.

Recalculations and time-series consistency

16. The inventory for a time series, including the base year and all subsequent years for which the inventory has been reported, should be estimated using the same methodologies, and the underlying AD and EFs should be obtained and used in a consistent manner, ensuring that changes in emission trends are not introduced as a result of changes in estimation methods or assumptions over the time series of estimates.

17. Recalculations should ensure the consistency of the time series and shall be carried out to improve accuracy and/or completeness. Where the methodology or manner in which underlying AD and EFs are gathered has changed, Annex I Parties should recalculate their inventories for the base year and subsequent years of the times series. Annex I Parties should evaluate the need for recalculations relative to the reasons provided in the 2006 IPCC Guidelines, in particular for key categories. Recalculations should be performed in accordance with 2006 IPCC Guidelines and the general principles set down in these reporting guidelines.

18. In some cases it may not be possible to use the same methods and consistent data sets for all years, owing to a possible lack of AD, EFs or other parameters directly used in the calculation of emission estimates for some historical years, including the base year. In such cases, emissions or removals may need to be recalculated using alternative methods

not generally covered by paragraph 9 above. In these instances, Annex I Parties should use one of the techniques provided in the 2006 IPCC Guidelines to estimate the missing values. Annex I Parties should document and report the methodologies used for the entire time series.

Quality assurance/quality control

19. Each Annex I Party shall elaborate an inventory quality assurance/quality control (QA/QC) plan and implement general inventory QC procedures in accordance with its QA/QC plan following the 2006 IPCC Guidelines. In addition, Annex I Parties should apply category-specific QC procedures for key categories and for those individual categories in which significant methodological changes and/or data revisions have occurred, in accordance with the 2006 IPCC Guidelines. In addition, Annex I Parties should implement QA procedures by conducting a basic expert peer review of their inventories in accordance with the 2006 IPCC Guidelines.

F. National inventory arrangements

20. Each Annex I Party should implement and maintain national inventory arrangements for the estimation of anthropogenic GHG emissions by sources and removals by sinks. The national inventory arrangements include all institutional, legal and procedural arrangements made within an Annex I Party for estimating anthropogenic emissions by sources and removals by sinks of all GHGs not controlled by the Montreal Protocol, and for reporting and archiving inventory information.

21. National inventory arrangements should be designed and operated:

(a) To ensure the transparency, consistency, comparability, completeness and accuracy of inventories, as defined in paragraphs 3 and 4 above;

(b) To ensure the quality of inventories through the planning, preparation and management of inventory activities. Inventory activities include collecting AD, selecting methods and EFs appropriately, estimating anthropogenic GHG emissions by sources and removals by sinks, implementing uncertainty assessment and QA/QC activities, and carrying out procedures for the verification of the inventory data at the national level, as described in these reporting guidelines.

22. In the implementation of its national inventory arrangements, each Annex I Party should perform the following general functions:

(a) Establish and maintain the institutional, legal and procedural arrangements necessary to perform the functions defined in paragraphs 23 to 27 below, as appropriate, between the government agencies and other entities responsible for the performance of all functions defined in these reporting guidelines;

(b) Ensure sufficient capacity for the timely performance of the functions defined in these reporting guidelines, including data collection for estimating anthropogenic GHG emissions by sources and removals by sinks and arrangements for the technical competence of the staff involved in the inventory development process;

(c) Designate a single national entity with overall responsibility for the national inventory;

(d) Prepare national annual GHG inventories in a timely manner in accordance with these reporting guidelines and relevant decisions of the COP, and provide the information necessary to meet the reporting requirements defined in these reporting guidelines and in relevant decisions of the COP;

(e) Undertake specific functions relating to inventory planning, preparation and management.

Inventory planning

23. As part of its inventory planning, each Annex I Party should:

(a) Define and allocate specific responsibilities in the inventory development process, including those relating to choosing methods, data collection, particularly AD and EFs from statistical services and other entities, processing and archiving, and QA/QC. Such definition should specify the roles of, and the cooperation between, government agencies and other entities involved in the preparation of the inventory, as well as the institutional, legal and procedural arrangements made to prepare the inventory;

(b) Elaborate an inventory QA/QC plan as indicated in paragraph 19 above;

(c) Establish processes for the official consideration and approval of the inventory, including any recalculations, prior to its submission, and for responding to any issues raised in the inventory review process.

24. As part of its inventory planning, each Annex I Party should consider ways to improve the quality of AD, EFs, methods and other relevant technical elements of the inventory. Information obtained from the implementation of the QA/QC programme, the inventory review process and other verification activities should be considered in the development and/or revision of the QA/QC plan and the quality objectives.

Inventory preparation

25. As part of its inventory preparation, each Annex I Party should:

(a) Prepare estimates in accordance with the requirements defined in these reporting guidelines;

(b) Collect sufficient AD, process information and EFs as are necessary to support the methods selected for estimating anthropogenic GHG emissions by sources and removals by sinks;

(c) Make quantitative estimates of uncertainty for each category and for the inventory as a whole, as indicated in paragraph 15 above;

(d) Ensure that any recalculations are prepared in accordance with paragraphs 16–18 above;

(e) Compile the NIR and the CRF tables in accordance with these reporting guidelines;

(f) Implement general inventory QC procedures in accordance with its QA/QC plan, following the 2006 IPCC Guidelines.

26. As part of its inventory preparation, each Annex I Party should:

(a) Apply category-specific QC procedures for key categories and for those individual categories in which significant methodological and/or data revisions have occurred, in accordance with the 2006 IPCC Guidelines;

(b) Provide for a basic review of the inventory by personnel that have not been involved in the inventory development process, preferably an independent third party, before the submission of the inventory, in accordance with the planned QA procedures referred to in paragraph 19 above;

(c) Provide for a more extensive review of the inventory for key categories, as well as for categories where significant changes to methods or data have been made, in accordance with the 2006 IPCC Guidelines;

(d) On the basis of the reviews described in paragraph 26(b) and (c) above and periodic internal evaluations of the inventory preparation process, re-evaluate the inventory planning process, in order to meet the established quality objectives referred to in paragraph 24 above.

Inventory management

27. As part of its inventory management, each Annex I Party should:

(a) Archive all relevant inventory information for the reported time series, including all disaggregated EFs and AD, documentation on how these factors and data have been generated and aggregated for the preparation of the inventory, internal documentation on QA/QC procedures, external and internal reviews, and documentation on annual key categories and key category identification and planned inventory improvements;

(b) Provide review teams with access to all archived information used by the Party to prepare the inventory through the single national entity, in accordance with relevant decisions of the COP;

(c) Respond, in a timely manner, to requests for clarifying inventory information resulting from the different stages of the process of review of the inventory information and information on the national inventory arrangements.

G. Reporting

1. General guidance

Estimates of emissions and removals

28. Article 12, paragraph 1(a), of the Convention requires that each Party shall communicate to the COP, through the secretariat, inter alia, a national inventory of anthropogenic emissions by sources and removals by sinks of all GHGs not controlled by the Montreal Protocol. As a minimum requirement, inventories shall contain information on the following GHGs: carbon dioxide (CO₂), methane (CH₄), nitrous oxide (N₂O), perfluorocarbons (PFCs), hydrofluorocarbons (HFCs), sulphur hexafluoride (SF₆) and nitrogen trifluoride (NF₃).

29. In addition, Annex I Parties should provide information on the following precursor gases: carbon monoxide (CO), nitrogen oxides (NO_x) and non-methane volatile organic compounds (NMVOCs), as well as sulphur oxides (SO_x). Annex I Parties may report indirect CO₂ from the atmospheric oxidation of CH₄, CO and NMVOCs. Annex I Parties may report as a memo item indirect N₂O emissions from other than the agriculture and LULUCF sources. These estimates of indirect N₂O should not be included in national totals. For Parties that decide to report indirect CO₂ the national totals shall be presented with and without indirect CO₂.

30. GHG emissions and removals should be presented on a gas-by-gas basis in units of mass, with emissions by sources listed separately from removals by sinks, except in cases where it may be technically impossible to separate information on sources and sinks in the area of LULUCF. For HFCs and PFCs, emissions should be reported for each relevant chemical in the category on a disaggregated basis, except in cases where paragraph 36 below applies.

31. Annex I Parties should report aggregate emissions and removals of GHGs, expressed in CO₂ equivalent (CO₂ eq), using the global warming potential values as agreed by decision 24/CP.19 or any subsequent decision by the COP on global warming potentials.

32. Annex I Parties shall report actual emissions of HFCs, PFCs, SF₆ and NF₃, providing disaggregated data by chemical (e.g. HFC-134a) and category in units of mass and in CO₂ eq, except in cases where paragraph 36 below applies. Annex I Parties should report emission estimates or notation keys in line with paragraph 37 below and trends for these gases for 1990 onwards, in accordance with the provisions of these reporting guidelines.

33. Annex I Parties are strongly encouraged to also report emissions and removals of additional GHGs, such as hydrofluoroethers (HFEs), perfluoropolyethers (PFPEs), and other gases for which 100-year global warming potential values are available from the IPCC but have not yet been adopted by the COP. These emissions and removals should be reported separately from national totals.

34. In accordance with the 2006 IPCC Guidelines, international aviation and marine bunker fuel emissions should not be included in national totals but should be reported separately. Annex I Parties should make every effort to both apply and report according to the method contained in the 2006 IPCC Guidelines for separating domestic and international emissions. Annex I Parties should also report emissions from international aviation and marine bunker fuels as two separate entries in their inventories.

35. Annex I Parties should clearly indicate how feedstocks and non-energy use of fuels have been accounted for in the inventory, under the energy or industrial processes sector, in accordance with the 2006 IPCC Guidelines.

36. Emissions and removals should be reported at the most disaggregated level of each source/sink category, taking into account that a minimum level of aggregation may be required to protect confidential business and military information.

Completeness

37. Where methodological or data gaps in inventories exist, information on these gaps should be presented in a transparent manner. Annex I Parties should clearly indicate the sources and sinks which are not considered in their inventories but which are included in the 2006 IPCC Guidelines, and explain the reasons for such exclusion. Similarly, Annex I Parties should indicate the parts of their geographical area, if any, not covered by their inventory and explain the reasons for their exclusion. In addition, Annex I Parties should use the notation keys presented below to fill in the blanks in all the CRF tables.⁵ This approach facilitates the assessment of the completeness of an inventory. The notation keys are as follows:

(a) “NO” (not occurring) for categories or processes, including recovery, under a particular source or sink category that do not occur within an Annex I Party;

(b) “NE” (not estimated) for AD and/or emissions by sources and removals by sinks of GHGs which have not been estimated but for which a corresponding activity may occur within a Party.⁶ Where “NE” is used in an inventory to report emissions or removals of CO₂, N₂O, CH₄, HFCs, PFCs, SF₆ and NF₃, the Annex I Party shall indicate in both the NIR and the CRF completeness table why such emissions or removals have not been estimated. Furthermore, a Party may consider that a disproportionate amount of effort

⁵ If notation keys are used in the NIR, they should be consistent with those reported in the CRF tables.

⁶ The notation key “NE” could also be used when an activity occurs in the Party but the 2006 IPCC Guidelines do not provide methodologies to estimate the emissions/removals.

would be required to collect data for a gas from a specific category⁷ that would be insignificant in terms of the overall level and trend in national emissions and in such cases use the notation key “NE”. The Party should in the NIR provide justifications for exclusion in terms of the likely level of emissions. An emission should only be considered insignificant if the likely level of emissions is below 0.05 per cent of the national total GHG emissions,⁸ and does not exceed 500 kt CO₂ eq. The total national aggregate of estimated emissions for all gases and categories considered insignificant shall remain below 0.1 per cent of the national total GHG emissions.⁹ Parties should use approximated AD and default IPCC EFs to derive a likely level of emissions for the respective category. Once emissions from a specific category have been reported in a previous submission, emissions from this specific category shall be reported in subsequent GHG inventory submissions;

(c) “NA” (not applicable) for activities under a given source/sink category that do occur within the Party but do not result in emissions or removals of a specific gas. If the cells for categories in the CRF tables for which “NA” is applicable are shaded, they do not need to be filled in;

(d) “IE” (included elsewhere) for emissions by sources and removals by sinks of GHGs estimated but included elsewhere in the inventory instead of under the expected source/sink category. Where “IE” is used in an inventory, the Annex I Party should indicate, in the CRF completeness table, where in the inventory the emissions or removals for the displaced source/sink category have been included, and the Annex I Party should explain such a deviation from the inclusion under the expected category, especially if it is due to confidentiality;

(e) “C” (confidential) for emissions by sources and removals by sinks of GHGs of which the reporting could lead to the disclosure of confidential information, given the provisions of paragraph 36 above.

38. Annex I Parties are encouraged to estimate and report emissions and removals for source or sink categories for which estimation methods are not included in the 2006 IPCC Guidelines. If Annex I Parties estimate and report emissions and removals for country-specific sources or sinks or of gases which are not included in the 2006 IPCC Guidelines, they should explicitly describe what source/sink categories or gases these are, as well as what methodologies, EFs and AD have been used for their estimation, and provide references for these data.

Key categories

39. Annex I Parties shall estimate and report the individual and cumulative percentage contributions from key categories to their national total, with respect to both level and trend. The emissions should be expressed in terms of CO₂ eq using the methods provided in the 2006 IPCC Guidelines. As indicated in paragraph 50 below, this information should be included in the NIR using tables 4.2 and 4.3 of the 2006 IPCC Guidelines, adapted to the level of category disaggregation that the Annex I Party used for determining its key categories.¹⁰

Verification

40. For the purposes of verification, Annex I Parties should compare their national estimates of CO₂ emissions from fuel combustion with those estimates obtained using the

⁷ Category as defined in the CRF tables.

⁸ “National total GHG emissions” refers to the total GHG emissions without LULUCF for the latest reported inventory year.

⁹ As footnote 8 above.

¹⁰ Table 4.1 of the 2006 IPCC Guidelines should be used as the basis for preparing the key category analysis but does not need to be reported in the NIR.

IPCC reference approach, as contained in the 2006 IPCC Guidelines, and report the results of this comparison in the NIR.

41. Annex I Parties that prepare their estimates of emissions and/or removals using higher-tier (tier 3) methods and/or models shall provide in the NIR verification information consistent with the 2006 IPCC Guidelines.

Uncertainties

42. Annex I Parties shall report, in the NIR, uncertainties estimated as indicated in paragraph 15 above, as well as methods used and underlying assumptions, for the purpose of helping to prioritize efforts to improve the accuracy of national inventories in the future and to guide decisions on methodological choice. This information should be presented using table 3.3 of volume 1 of the 2006 IPCC Guidelines. In addition, Annex I Parties should indicate in that table those categories that have been identified as key categories in their inventory.

Recalculations

43. Recalculations of previously submitted estimates of emissions and removals as a result of changes in methodologies, changes in the manner in which EFs and AD are obtained and used, or the inclusion of new sources or sinks which have existed since the base year but were not previously reported, shall be reported for the base year and all subsequent years of the time series up to the year for which the recalculations are made. Further, a discussion on the impact of the recalculations on the trend in emissions should be provided in the NIR at the category, sector and national total level, as appropriate.

44. Recalculations shall be reported in the NIR, with explanatory information and justifications for recalculations. Information on the procedures used for performing the recalculations, changes in the calculation methods, EFs and AD used, and the inclusion of sources or sinks not previously covered should be reported with an indication of the relevant changes in each source or sink category where these changes have taken place.

45. Annex I Parties shall report any other changes in estimates of emissions and removals, and clearly indicate the reason for the changes compared with previously submitted inventories (e.g. error correction, statistical reason or reallocation of categories), in the NIR as indicated in paragraph 50 below. Small differences (e.g. due to the rounding of estimates) should not be considered as recalculations.

Quality assurance/quality control

46. Annex I Parties shall report in the NIR on their QA/QC plan and give information on QA/QC procedures already implemented or to be implemented in the future. In addition, Annex I Parties are encouraged to report on any peer review of their inventory, apart from the UNFCCC review.

Corrections

47. Inventories shall be reported without corrections relating, for example, to climate variations or trade patterns of electricity.

2. National inventory report

48. Annex I Parties shall submit to the COP, through the secretariat, an NIR containing detailed and complete information on their inventories. The NIR should ensure transparency and contain sufficiently detailed information to enable the inventory to be reviewed. This information should cover the base year, the most recent 10 years and any previous years since the base year ending with 0 or 5 (1990, 1995, 2000, etc.).

49. Each year, an updated NIR shall be electronically submitted in its entirety to the COP, through the secretariat, in accordance with the relevant decisions of the COP.

50. The NIR shall include:

(a) Descriptions, references and sources of information for the specific methodologies, including higher-tier methods and models, assumptions, EFs and AD, as well as the rationale for their selection. For tier 3 models, additional information for improving transparency;¹¹

(b) An indication of the level of complexity (IPCC tier) applied and a description of any national methodology used by the Annex I Party, as well as information on anticipated future improvements;

(c) For key categories, an explanation if the recommended methods from the appropriate decision tree in the 2006 IPCC Guidelines are not used;

(d) A description of the national key categories, as indicated in paragraph 39 above, including:

(i) A summary table with the key categories identified for the latest reporting year (by level and trend);

(ii) Information on the level of category disaggregation used and the rationale for its use;

(iii) Additional information relating to the methodology used for identifying key categories;

(e) Information on how and where feedstocks and non-energy use of fuels have been reported in the inventory;

(f) Assessment of completeness, including information and explanations in relation to categories not estimated or included elsewhere, and information related to the geographical scope;

(g) Information on uncertainties, as requested in paragraph 42 above;

(h) Information on any recalculations relating to previously submitted inventory data, as requested in paragraphs 43 to 45 above, including changes in methodologies, sources of information and assumptions, in particular in relation to recalculations made in response to the review process;

(i) Information on changes in response to the review process;

(j) Information on the national inventory arrangements and changes to the national inventory arrangements, including a description of the institutional arrangements for inventory preparation, as well as information on verification as requested in paragraphs 40 and 41 above and on QA/QC as requested in paragraph 46 above.

51. The NIR should follow the outline and general structure contained in annex I to decision 24/CP.19.

¹¹ Parties should, as applicable, report information on: basis and type of model, application and adaptation of the model, main equations/processes, key assumptions, domain of application, how the model parameters were estimated, description of key inputs and outputs, details of calibration and model evaluation, uncertainty and sensitivity analysis, QA/QC procedures adopted and references to peer-reviewed literature.

3. Common reporting format tables

52. The CRF tables are designed to ensure that Annex I Parties report quantitative data in a standardized format and to facilitate comparison of inventory data and trends. Explanation of information of a qualitative character should mainly be provided in the NIR rather than in the CRF tables. Such explanatory information should be cross-referenced to the specific chapter of the NIR.

53. Annex I Parties shall submit annually to the COP, through the secretariat, the information required in the CRF tables, as contained in annex II to decision 24/CP.19. This information shall be electronically submitted on an annual basis in its entirety to the COP, through the secretariat, in accordance with the relevant decisions of the COP. Parties should submit their CRF tables, generated by the CRF Reporter software, via the UNFCCC submission portal, with a view to facilitating the processing of the inventory information by the secretariat.

54. The CRF is a standardized format for reporting estimates of GHG emissions and removals and other relevant information. The CRF allows for the improved handling of electronic submissions and facilitates the processing of inventory information and the preparation of useful technical analysis and synthesis documentation.

55. The CRF tables shall be reported in accordance with the tables included in annex II to decision 24/CP.19 and as specified in these reporting guidelines. In completing the CRF tables, Annex I Parties:

(a) Shall provide a full set of CRF tables for the base year and all years from 1990 up to the most recent inventory year;

(b) Should provide completeness tables for the latest inventory year only, if the information applies to all years of the time series. If the information in those tables differs for each reported year, then either the tables or information on the specific changes must be provided for each year in the CRF tables;

(c) Should use the documentation boxes provided at the foot of the sectoral report and background data tables to provide cross references to detailed explanations in the NIR, or any other information, as specified in those boxes.

56. Annex I Parties should provide the information requested in the additional information boxes. Where the information called for is inappropriate because of the methodological tier used by the Annex I Party, the corresponding cells should be completed using the notation key "NA". In such cases, the Annex I Parties should cross-reference in the documentation box the relevant chapter in the NIR where equivalent information can be found.

57. Annex I Parties should use the notation keys, as specified in paragraph 37 above, in all the CRF tables to fill in the cells where no quantitative data are directly entered. Using the notation keys in this way facilitates the assessment of the completeness of an inventory.

H. Record-keeping

58. Annex I Parties should gather and archive all relevant inventory information for each year of the reported time series, including all disaggregated EFs and AD, and documentation on how those factors and data were generated, including expert judgement where appropriate, and how they have been aggregated for their reporting in the inventory. This information should allow for the reconstruction of the inventory by the expert review teams. Inventory information should be archived from the base year and should include corresponding data on the recalculations applied. The 'paper trail', which can include

spreadsheets or databases used to compile inventory data, should enable estimates of emissions and removals to be traced back to the original disaggregated EFs and AD. Also, relevant supporting documentation related to QA/QC implementation, uncertainty evaluation or key category analyses should be kept on file. This information should facilitate the process of clarifying inventory data in a timely manner when the secretariat prepares annual compilations of inventories or assesses methodological issues.

I. Systematic updating of the guidelines

59. The UNFCCC Annex I inventory reporting guidelines on annual GHG inventories shall be reviewed and revised, as appropriate, in accordance with decisions of the COP on this matter.

J. Language

60. The NIR shall be submitted in one of the official languages of the United Nations. Annex I Parties are encouraged to submit an English translation of the NIR to facilitate its use by the expert review teams.

Appendix

An outline and general structure of the national inventory report

EXECUTIVE SUMMARY

- ES.1. Background information on greenhouse gas (GHG) inventories and climate change (e.g. as it pertains to the national context)
- ES.2. Summary of national emission and removal-related trends
- ES.3. Overview of source and sink category emission estimates and trends
- ES.4. Other information (e.g. indirect GHGs)

Chapter 1: Introduction

- 1.1. Background information on GHG inventories and climate change (e.g. as it pertains to the national context, to provide information to the general public)
- 1.2. A description of the national inventory arrangements
 - 1.2.1. Institutional, legal and procedural arrangements
 - 1.2.2. Overview of inventory planning, preparation and management
 - 1.2.3. Quality assurance, quality control and verification plan

Indicate:

- *Quality assurance/quality control (QA/QC) procedures applied*
- *QA/QC plan*
- *Verification activities*
- *Treatment of confidentiality issues*

1.2.4. Changes in the national inventory arrangements since previous annual GHG inventory submission

- 1.3. Inventory preparation, and data collection, processing and storage
- 1.4. Brief general description of methodologies (including tiers used) and data sources used
- 1.5. Brief description of key categories

Provide a summary table with the key categories identified for the latest reporting year (by level and trend) on the basis of table 4.4 of volume 1 of the 2006 IPCC Guidelines for National Greenhouse Gas Inventories (hereinafter referred to as the 2006 IPCC Guidelines) and provide more detailed information in annex 1. Indicate whether the key category analysis differs from the one included in the common reporting format (CRF) table and, if so, give a short description of the differences.

- 1.6. General uncertainty evaluation, including data on the overall uncertainty for the inventory totals
- 1.7. General assessment of completeness

Provide, inter alia, information and explanations in relation to categories not estimated or included elsewhere, and information related to the geographical scope.

Chapter 2: Trends in greenhouse gas emissions

- 2.1. Description and interpretation of emission trends for aggregated GHG emissions
- 2.2. Description and interpretation of emission trends by sector

Explain, inter alia, significant changes compared with 1990 and the previous year.

Chapter 3: Energy (CRF sector 1)

- 3.1. Overview of sector (e.g. quantitative overview and description, including trends and methodological tiers by category)
- 3.2. Fuel combustion (CRF 1.A), including detailed information on:
 - 3.2.1. Comparison of the sectoral approach with the reference approach
 - 3.2.2. International bunker fuels
 - 3.2.3. Feedstocks and non-energy use of fuels
 - 3.2.4. Category (CRF category number)
 - 3.2.4.1. Category description (e.g. characteristics of sources)
 - 3.2.4.2. Methodological issues (e.g. choice of methods/activity data/emission factors, assumptions, parameters and conventions underlying the emission estimates and the rationale for their selection, information on carbon dioxide (CO₂) capture, any specific methodological issues (e.g. description of national methods and models))
 - 3.2.4.3. Uncertainties and time-series consistency
 - 3.2.4.4. Category-specific QA/QC and verification, if applicable
 - 3.2.4.5. Category-specific recalculations, if applicable, including changes made in response to the review process and impact on emission trend

3.2.4.6. Category-specific planned improvements, if applicable (e.g. methodologies, activity data, emission factors, etc.), including tracking of those identified in the review process

3.3. Fugitive emissions from solid fuels and oil and natural gas and other emissions from energy production (CRF 1.B)

3.3.1. Category (CRF category number)

3.3.1.1. Category description (e.g. characteristics of sources)

3.3.1.2. Methodological issues (e.g. choice of methods/activity data/emission factors, assumptions, parameters and conventions underlying the emission estimates and the rationale for their selection, any specific methodological issues (e.g. description of national methods and models))

3.3.1.3. Uncertainties and time-series consistency

3.3.1.4. Category-specific QA/QC and verification, if applicable

3.3.1.5. Category-specific recalculations, if applicable, including changes made in response to the review process and impact on emission trend

3.3.1.6. Category-specific planned improvements, if applicable (e.g. methodologies, activity data, emission factors, etc.), including tracking of those identified in the review process

3.4. CO₂ transport and storage (CRF 1.C)

3.4.1. Category (CRF category number)

3.4.1.1. Category description (e.g. characteristics of sources)

3.4.1.2. Methodological issues (e.g. choice of methods/activity data/emission factors, assumptions, parameters and conventions underlying the emission estimates and the rationale for their selection, any specific methodological issues (e.g. description of national methods and models))

3.4.1.3. Uncertainties and time-series consistency

3.4.1.4. Category-specific QA/QC and verification, if applicable

3.4.1.5. Category-specific recalculations, if applicable, including changes made in response to the review process and impact on emission trend

3.4.1.6. Category-specific planned improvements, if applicable (e.g. methodologies, activity data, emission factors, etc.), including tracking of those identified in the review process

Chapter 4: Industrial processes and product use (CRF sector 2)

4.1. Overview of sector (e.g. quantitative overview and description, including trends and methodological tiers by category)

4.2. Category (CRF category number)

4.2.1. Category description (e.g. characteristics of sources)

4.2.2. Methodological issues (e.g. choice of methods/activity data/emission factors, assumptions, parameters and conventions underlying the emission estimates and the rationale for their selection, information on CO₂ capture, any specific methodological issues (e.g. description of national methods and models))

4.2.3. Uncertainties and time-series consistency

4.2.4. Category-specific QA/QC and verification, if applicable

4.2.5. Category-specific recalculations, if applicable, including changes made in response to the review process and impact on emission trend

4.2.6. Category-specific planned improvements, if applicable (e.g. methodologies, activity data, emission factors, etc.), including tracking of those identified in the review process

Chapter 5: Agriculture (CRF sector 3)

5.1. Overview of sector (e.g. quantitative overview and description, including trends and methodological tiers by category)

5.2. Category (CRF category number)

5.2.1. Category description (e.g. characteristics of sources)

5.2.2. Methodological issues (e.g. choice of methods/activity data/emission factors, assumptions, parameters and conventions underlying the emission and removal estimates and the rationale for their selection, any specific methodological issues (e.g. description of national methods and models))

5.2.3. Uncertainties and time-series consistency

5.2.4. Category-specific QA/QC and verification, if applicable

5.2.5. Category-specific recalculations, if applicable, including changes made in response to the review process and impact on emission trend

5.2.6. Category-specific planned improvements, if applicable (e.g. methodologies, activity data, emission factors, etc.), including tracking of those identified in the review process

Chapter 6: Land use, land-use change and forestry (CRF sector 4)

6.1. Overview of sector (e.g. quantitative overview and description, including trends and methodological tiers by category, and coverage of pools)

6.2. Land-use definitions and the classification systems used and their correspondence to the land use, land-use change and forestry categories (e.g. land use and land-use change matrix)

6.3. Information on approaches used for representing land areas and on land-use databases used for the inventory preparation

6.4. Category (CRF category number)

6.4.1. Description (e.g. characteristics of category)

6.4.2. Methodological issues (e.g. choice of methods/activity data/emission factors, assumptions, parameters and conventions underlying the emission and removal estimates and the rationale for their selection, any specific methodological issues (e.g. description of national methods and models))

6.4.3. Uncertainties and time-series consistency

6.4.4. Category-specific QA/QC and verification, if applicable

6.4.5. Category-specific recalculations, if applicable, including changes made in response to the review process and impact on emission trend

6.4.6. Category-specific planned improvements, if applicable (e.g. methodologies, activity data, emission factors, etc.), including those in response to the review process

Chapter 7: Waste (CRF sector 5)

7.1. Overview of sector (e.g. quantitative overview and description, including trends and methodological tiers by category)

7.2. Category (CRF category number)

7.2.1. Category description (e.g. characteristics of sources)

7.2.2. Methodological issues (e.g. choice of methods/activity data/emission factors, assumptions, parameters and conventions underlying the emission estimates and the rationale for their selection, any specific methodological issues (e.g. description of national methods and models))

7.2.3. Uncertainties and time-series consistency

7.2.4. Category-specific QA/QC and verification, if applicable

7.2.5. Category-specific recalculations, if applicable, including changes made in response to the review process

7.2.6. Category-specific planned improvements, if applicable (e.g. methodologies, activity data, emission factors, etc.), including those in response to the review process

Chapter 8: Other (CRF sector 6) (if applicable)

Chapter 9: Indirect CO₂ and nitrous oxide emissions¹²

9.1. Description of sources of indirect emissions in GHG inventory

9.2. Methodological issues (e.g. choice of methods/activity data/emission factors, assumptions, parameters and conventions underlying the emission estimates and the rationale for their selection, any specific methodological issues (e.g. description of national methods and models))

9.3. Uncertainties and time-series consistency

9.4. Category-specific QA/QC and verification, if applicable

9.5. Category-specific recalculations, if applicable, including changes made in response to the review process and impact on emission trend

9.6. Category-specific planned improvements, if applicable (e.g. methodologies, activity data, emission factors, etc.), including tracking of those identified in the review process

Chapter 10: Recalculations and improvements

10.1. Explanations and justifications for recalculations, including in response to the review process

10.2. Implications for emission levels

10.3. Implications for emission trends, including time-series consistency

10.4. Planned improvements, including in response to the review process

¹² Content of this chapter should be consistent with paragraph 29.

Annexes to the national inventory report**Annex 1:** Key categories

- Description of methodology used for identifying key categories, if different from the Intergovernmental Panel on Climate Change (IPCC) tier 1 approach
- Information on the level of disaggregation
- Tables 4.2 and 4.3 of volume 1 of the 2006 IPCC Guidelines, including and excluding land use, land-use change and forestry

Annex 2: Assessment of uncertainty

- Description of methodology used for identifying uncertainties
- Table 3.3 of volume 1 of the 2006 IPCC Guidelines

Annex 3: Detailed methodological descriptions for individual source or sink categories

A.3.X (sector or category name)

Annex 4: The national energy balance for the most recent inventory year**Annex 5:** Any additional information, as applicable.**References**

All references used in the national inventory report must be listed in the references list.

Annex II

[English only]

Common reporting format tables

Owing to the complexity of and the importance of colour coding in the common reporting format (CRF) tables, they are not included in this document but can be downloaded from the UNFCCC website at

<http://unfccc.int/national_reports/annex_i_ghg_inventories/reporting_requirements/items/5333.php>.

Annex III

[English only]

Global warming potential values^a

<i>Greenhouse gas</i>	<i>Chemical formula</i>	<i>Global warming potentials</i>
Carbon dioxide	CO ₂	1
Methane	CH ₄	25
Nitrous oxide	N ₂ O	298
Hydrofluorocarbons (HFCs)		
HFC-23	CHF ₃	14 800
HFC-32	CH ₂ F ₂	675
HFC-41	CH ₃ F	92
HFC-43-10mcc	CF ₃ CHFCHFCF ₂ CF ₃	1 640
HFC-125	C ₂ HF ₅	3 500
HFC-134	C ₂ H ₂ F ₄ (CHF ₂ CHF ₂)	1 100
HFC-134a	C ₂ H ₂ F ₄ (CH ₂ FCF ₃)	1 430
HFC-143	C ₂ H ₃ F ₃ (CHF ₂ CH ₂ F)	353
HFC-143a	C ₂ H ₃ F ₃ (CF ₃ CH ₃)	4 470
HFC-152	CH ₂ FCH ₂ F	53
HFC-152a	C ₂ H ₄ F ₂ (CH ₃ CHF ₂)	124
HFC-161	CH ₃ CH ₂ F	12
HFC-227ea	C ₃ HF ₇	3 220
HFC-236cb	CH ₂ FCF ₂ CF ₃	1 340
HFC-236ea	CHF ₂ CHFCF ₃	1 370
HFC-236fa	C ₃ H ₂ F ₆	9 810
HFC-245ca	C ₃ H ₃ F ₅	693
HFC-245fa	CHF ₂ CH ₂ CF ₃	1 030
HFC-365mfc	CH ₃ CF ₂ CH ₂ CF ₃	794
Perfluorocarbons		
Perfluoromethane – PFC-14	CF ₄	7 390
Perfluoroethane – PFC-116	C ₂ F ₆	12 200
Perfluoropropane – PFC-218	C ₃ F ₈	8 830
Perfluorobutane – PFC-3-1-10	C ₄ F ₁₀	8 860
Perfluorocyclobutane – PFC-318	c-C ₄ F ₈	10 300
Perfluoropentane – PFC-4-1-12	C ₅ F ₁₂	9 160
Perfluorohexane – PFC-5-1-14	C ₆ F ₁₄	9 300
Perfluorodecalin – PFC-9-1-18 ^b	C ₁₀ F ₁₈	>7 500
Perfluorocyclopropane ^c	c-C ₃ F ₆	>17 340
Sulphur hexafluoride (SF₆)		
Sulphur hexafluoride	SF ₆	22 800
Nitrogen trifluoride (NF₃)		
Nitrogen trifluoride	NF ₃	17 200
Fluorinated ethers		
HFE-125	CHF ₂ OCF ₃	14 900
HFE-134	CHF ₂ OCHF ₂	6 320
HFE-143a	CH ₃ OCF ₃	756

<i>Greenhouse gas</i>	<i>Chemical formula</i>	<i>Global warming potentials</i>
HCFE-235da2	CHF ₂ OCHClCF ₃	350
HFE-245cb2	CH ₃ OCF ₂ CF ₃	708
HFE-245fa2	CHF ₂ OCH ₂ CF ₃	659
HFE-254cb2	CH ₃ OCF ₂ CHF ₂	359
HFE-347mcc3	CH ₃ OCF ₂ CF ₂ CF ₃	575
HFE-347pcf2	CHF ₂ CF ₂ OCH ₂ CF ₃	580
HFE-356pcc3	CH ₃ OCF ₂ CF ₂ CHF ₂	110
HFE-449sl (HFE-7100)	C ₄ F ₉ OCH ₃	297
HFE-569sf2 (HFE-7200)	C ₄ F ₉ OC ₂ H ₅	59
HFE-43-10pccc124 (H-Galden 1040x)	CHF ₂ OCF ₂ OC ₂ F ₄ OCHF ₂	1 870
HFE-236ca12 (HG-10)	CHF ₂ OCF ₂ OCHF ₂	2 800
HFE-338pcc13 (HG-01)	CHF ₂ OCF ₂ CF ₂ OCHF ₂	1 500
	(CF ₃) ₂ CFOCH ₃	343
	CF ₃ CF ₂ CH ₂ OH	42
	(CF ₃) ₂ CHOH	195
HFE-227ea	CF ₃ CHFOCF ₃	1 540
HFE-236ea2	CHF ₂ OCHF ₂ CF ₃	989
HFE-236fa	CF ₃ CH ₂ OCF ₃	487
HFE-245fa1	CHF ₂ CH ₂ OCF ₃	286
HFE-263fb2	CF ₃ CH ₂ OCH ₃	11
HFE-329mcc2	CHF ₂ CF ₂ OCF ₂ CF ₃	919
HFE-338mcf2	CF ₃ CH ₂ OCF ₂ CF ₃	552
HFE-347mcf2	CHF ₂ CH ₂ OCF ₂ CF ₃	374
HFE-356mcc3	CH ₃ OCF ₂ CHF ₂ CF ₃	101
HFE-356pcf2	CHF ₂ CH ₂ OCF ₂ CHF ₂	265
HFE-356pcf3	CHF ₂ OCH ₂ CF ₂ CHF ₂	502
HFE-365mcf11 t3	CF ₃ CF ₂ CH ₂ OCH ₃	11
HFE-374pc2	CHF ₂ CF ₂ OCH ₂ CH ₃	557
	– (CF ₂) ₄ CH (OH) –	73
	(CF ₃) ₂ CHOCHF ₂	380
	(CF ₃) ₂ CHOCH ₃	27
Perfluoropolyethers		
PFPME	CF ₃ OCF(CF ₃)CF ₂ OCF ₂ OCF ₃	10 300
Trifluoromethyl sulphur pentafluoride (SF₅CF₃)		
Trifluoromethyl sulphur pentafluoride	SF ₅ CF ₃	17 700

^a As listed in the column entitled “Global warming potential for given time horizon” in table 2.14 of the errata to the contribution of Working Group I to the Fourth Assessment Report of the Intergovernmental Panel on Climate Change, based on the effects of greenhouse gases over a 100-year time horizon.

^b The CRF Reporter will use the value of 7,500 for perfluorodecalin.

^c The CRF Reporter will use the value of 17,340 for perfluorocyclopropane.

第十次全体会议
2013年11月22日

第 25/CP.9 号决定

气候技术中心与网络的模式和程序及其咨询委员会

缔约方会议，

忆及第 1/CP.16、第 2/CP.17 和第 14/CP.18 号决定，特别是第 2/CP.17 号决定第 135 段，其中请气候技术中心与网络在投入运转后，详细拟订其模式和程序，并通过附属机构向缔约方会议报告，以期在缔约方会议第十九届会议上就这个事项作出一项决定，

1. 赞赏地欢迎气候技术中心与网络关于模式和程序的报告；¹
2. 通过气附件一所载气候技术中心与网络的模式和程序；
3. 还通过附件二所载气候技术中心与网络咨询委员会的议事规则；
4. 注意到气候技术中心与网络咨询委员会详细拟订的模式和程序，其基础是气候技术中心与网络的职能，² 包括以下 6 项关键内容：
 - (a) 气候技术中心与网络的作用和责任；
 - (b) 发展中国家指定国家实体的管理要求和交付响应；
 - (c) 促进合作和获得信息与知识，以加速气候技术转让；
 - (d) 为气候技术转让加强网络、伙伴关系和能力建设；
 - (e) 与气候执行委员会的联系；
 - (f) 信息和知识分享；
5. 请气候技术中心与网络在落实其模式和程序中，与气候执行委员会合作，以确保技术机制内的一致性和协同作用，以期：
 - (a) 加快技术的开发和转让，同时考虑到性别因素；
 - (b) 扩大关于技术的开发和转让的国际合作规模；
6. 承认气候技术中心与网络和技术执行委员会持续努力，确保技术机制内的一致性和协同作用；
7. 请气候技术中心与网络咨询委员会和气候技术中心，在考虑到技术发展差异的情况下，设法使发展中国家和发达国家缔约方的各机构成为网络的一部分，并注意需遵守“设立气候技术网络的指导原则和标准”。³

¹ FCCC/SB/2013/INF.7。

² 第 1/CP.16 号决定，第 123 段。

³ 可查阅<<http://www.unep.org/climatechange/ctcn/>>。

Annex I

[English only]

Modalities and procedures of the Climate Technology Centre and Network

I. Definitions

1. For the purpose of the modalities and procedures of the Climate Technology Centre and Network:

(a) “Convention” means the United Nations Framework Convention on Climate Change (UNFCCC);

(b) “COP” means the Conference of the Parties to the Convention;

(c) “Parties” means Parties to the Convention;

(d) “Developing country Parties” means Parties to the Convention not included in Annex I to the Convention;

(e) “CTCN” means the Climate Technology Centre and Network formed by a Climate Technology Centre (CTC) and a Network managed by the CTC;

(f) “CTC” means the Climate Technology Centre that is hosted by the United Environment Programme (UNEP) in collaboration with the United Nations Industrial Development Organization (UNIDO) and supported by a technical resource pool formed by 11 institutions;

(g) “Technical resource pool” means the 11 partner institutions that with UNEP and UNIDO submitted to the UNFCCC a proposal to host the CTCN;

(h) “Network” means the collection of institutions and other entities established in accordance with the criteria approved by the Advisory Board for the designation of members of the Network and its structure;

(i) “Advisory Board” means the Advisory Board of the CTCN;

(j) “TEC” means the Technology Executive Committee;

(k) “CTCN terms of reference” means the terms of reference of the Climate Technology Centre and Network included in annex VII to decision 2/CP.17;

(l) “National designated entity” (NDE) means the national entity designated under decision 4/CP.13;

(m) “Prioritization criteria” means the criteria for prioritizing the requests from NDEs;

(n) “Technology needs assessments” means the technology needs assessments conducted under the framework for meaningful and effective actions to enhance the implementation of Article 4, paragraph 5, of the Convention adopted by decision 4/CP.7 and enhanced by decision 3/CP.13;

(o) “National adaptation programmes of action” means national adaptation programmes of action referred to in decision 5/CP.7, paragraph 11(c);

(p) “Nationally appropriate mitigation actions” means nationally appropriate mitigation actions referred to in decision 1/CP.16, chapter III.B;

(q) “National adaptation plans” means national adaptation plans referred to in decision 1/CP.16, paragraph 15.

II. Roles and responsibilities of the Climate Technology Centre and Network

2. The CTC, consistent with the terms of reference of the CTCN as described in decision 2/CP.17, paragraph 135, will:

- (a) Receive requests from developing country Parties through their NDE;
- (b) Assess with support from the technical resource pool the received requests and prioritize and refine those requests in conjunction with the NDE with the aim of determining their technical feasibility;
- (c) Respond to requests, through either the Centre or the Network, based on considerations of appropriate capacity, expertise and cost-effectiveness;
- (d) Build the CTC Network, applying the criteria for the structure of the Network and designation of organizations as members of the Network as approved by the CTCN Advisory Board;
- (e) Manage and coordinate the Network in executing the work related to the functions of the CTCN;
- (f) Monitor and evaluate the quality and effectiveness of responses in consultation with the requesting NDE;
- (g) Ensure the application of fiduciary standards, and legal and ethical integrity by the Network members in executing the work related to the functions of the CTCN.

3. The members of the Network of the CTCN will:

- (a) Undertake the substantive work as directed by the CTC to respond to requests made to the CTCN by NDEs.

III. Manage requests from developing country national designated entities and deliver responses

4. In performing the functions described in decision 1/CP.16, paragraph 123(a)(i–iii) and (c)(iii), with regard to the management of requests from developing country Parties submitted through their NDEs, the modalities will consist of, inter alia, the following:

- (a) Support countries in developing draft proposals into fully articulated proposals, building on their technology needs assessments (TNAs), national adaptation programmes of action (NAPAs), other national climate change strategies including research, development and demonstration (RD&D) related activities, to enable implementation and action, also in the form of nationally appropriate mitigation actions and national adaptation plans, in collaboration with the financial mechanism of the Convention, international financial institutions, and the private sector;
- (b) Provide technical support and advice for development of TNAs, national technology road maps and actions plans, planning and implementation of climate technologies, and policies and measures in support of implementation;

- (c) Provide technical support and advice on tools for identifying, planning and implementing climate technologies;
- (d) Provide advice on policies and measures in support of implementation of climate technologies;
- (e) Match needs to available support and facilitate access to support.

IV. Foster collaboration and access to information and knowledge to accelerate climate technology transfer

5. In performing the functions described in decision 1/CP.16, paragraph 123(a)(ii), (b) and (c)(v), with regard to fostering collaboration and access to information and knowledge to accelerate technology transfer, the modalities will consist of, inter alia, the following:

- (a) Catalyse and develop information and knowledge regarding climate technologies including: needs for technologies, existing human resources development programmes and needs, best practices, RD&D programmes, analytical tools, training curriculums and academic programmes, technology deployment, etc., including online training packages;
- (b) Assess available support for 1) identifying gaps and 2) opportunities for helping developing countries access support;
- (c) Assess needs and opportunities for technology cooperation;
- (d) Recommend to the Advisory Board policies and programme priorities related to technology development and transfer, with special consideration given to least developed country Parties.

V. Strengthen networks, partnerships and capacity-building for climate technology transfer

6. In performing the functions as contained in decision 1/CP.16, paragraph 123(c)(i), (ii) and (iv), with regard to strengthen networks, partnerships and capacity-building for climate technology transfer, the modalities will include, inter alia, the following:

- (a) Catalyse and develop programmes to strengthen institutions and institutional capacities in developing countries;
- (b) Catalyse and develop regional/national training programmes for projects seeking a range of needs including financing;
- (c) Catalyse and develop capacity-building programmes targeted at developing technology cooperation and partnership forming capabilities of technology centres and institutes in developing countries;
- (d) Catalyse and support forums conducted by the Network to promote public-private partnerships and partnerships between relevant organizations to advance technology RD&D;
- (e) Catalyse forums to leverage resources from relevant agencies and centres and promote public and private investment (domestic and international) in the development and deployment of technologies.

VI. Linkages with the Technology Executive Committee

7. The CTCN, also through its Advisory Board, will consult with the Technology Executive Committee in order to promote coherence and synergy and establish procedures for preparing a joint annual report as requested by decisions 2/CP.17 and 14/CP.18.

VII. Information and knowledge-sharing

8. The CTCN should disseminate its outputs and facilitate knowledge-sharing through a well-functioning information platform that responds to the information and knowledge service requirements of its potential users, including NDEs, Parties and a wide range of technology actors, experts and stakeholders.

9. The platform would be a tool used to promote the collaboration between various actors and to seek cooperation with relevant international organizations and initiatives. It would support the efforts of the CTCN by, inter alia: facilitate online training, peer-to-peer exchange, and expert advice; capture experiences and results of technology cooperation activities to achieve continuous learning and improvements to knowledge; collect, analyse, and communicate CTCN results and lessons learned and continuously gather external feedback from a variety of CTCN stakeholders and partner organizations; serve as a comprehensive, up-to-date, and easily accessible library of information on technology availability, costs, and performance; policies; financing; and other topics for use by countries, with seamless links to resources available from sources around the world; provide information to support matchmaking of country requests with existing international programs; share information on current CTCN activities and results; enable internal tracking and evaluation of CTCN activities.

Annex II

[English only]

Rules of procedure of the Advisory Board of the Climate Technology Centre and Network

I. Scope

1. These rules of procedure shall apply to the Advisory Board of the Climate Technology Centre and Network (CTCN) in accordance with decision 14/CP.18, paragraphs 7 and 15, and annex II thereto, on the constitution of the Advisory Board of the CTCN as well as on any other relevant decisions of the Conference of the Parties.

II. Definitions

2. For the purpose of these rules:

(a) The “Convention” means the United Nations Framework Convention on Climate Change (UNFCCC);

(b) The “COP” means the Conference of the Parties to the Convention;

(c) “CTCN” means the Climate Technology Centre and Network;

(d) The “Board” means the Advisory Board of the CTCN;

(e) The “Chair” means the member of the Board elected as Chair of the Board;

(f) The “Vice-Chair” means the member of the Board elected as Vice-Chair of the Board;

(g) “Stakeholders” mean the entities that have a role in the implementation of the functions of the Board, or who may affect or be affected by the recommendations and actions of the Board;

(h) The “Secretary” means the Secretary of the Board, as per decision 14/CP.18, annex II, paragraph 3.

III. Members

3. The Board of the CTCN, with the aim of achieving fair and balanced representation, shall constitute the following:

(a) Sixteen government representatives, comprising equal representation from Parties included in Annex I to the Convention (Annex I Parties) and Parties not included in Annex I to the Convention (non-Annex I Parties);

(b) The Chair and the Vice-Chair of the Technology Executive Committee (TEC) in their official capacity as TEC representatives;

(c) One of the Co-Chairs, or a member designated by the Co-Chairs, of the Green Climate Fund Board in his/her official capacity as a Green Climate Fund representative;

(d) The Chair or the Vice-Chair of the Adaptation Committee, or a member designated by the Chair and the Vice-Chair, in his/her official capacity as an Adaptation Committee representative;

(e) One of the Co-Chairs, or a member designated by the Co-Chairs, of the Standing Committee in his/her official capacity as a Standing Committee representative;

(f) The Director of the CTCN in his/her official capacity as the CTCN representative;

(g) Three representatives, with one being selected by each of the following UNFCCC observer organization constituencies, taking into account balanced geographical representation: environmental non-governmental organizations, business and industry non-governmental organizations and research and independent non-governmental organizations, with relevant expertise in technology, finance or business, received by the host organization of the Climate Technology Centre (CTC), taking into account balanced geographical representation.

4. Government representatives shall be nominated by their respective groups or constituencies and elected by the Conference of the Parties (COP). Groups or constituencies are encouraged to nominate the government representatives to the Board, with a view to achieving an appropriate balance of expertise relevant to the development and transfer of technologies for adaptation and mitigation, taking into account the need to achieve gender balance in accordance with decisions 36/CP.7 and 23/CP.18.

5. Government representatives elected to the Board shall serve for a term of two years and shall be eligible to serve a maximum of two consecutive terms of office. The following rules shall apply:

(a) Half of the members shall be elected initially for a term of three years and half shall be elected for a term of two years;

(b) Thereafter, the COP shall elect half of the members every year for a term of two years;

(c) The members shall remain in office until their successors are elected.

6. If a government representative of the Board resigns or is otherwise unable to complete the assigned term of office or to perform the functions of that office, the Board may decide, bearing in mind the proximity of the next session of the COP, to appoint another representative from the same constituency to replace said member for the remainder of that member's mandate, in which case the appointment shall count as one term.

7. The members of the Board referred to in paragraph 3(b) above shall serve in accordance with their term of office.

8. The members of the Board referred to in paragraph 3(c), (d) and (e) above shall serve in accordance with their term of office.

9. The members of the Board referred to in paragraph 3(g) above shall be eligible to serve for a maximum term of office of one year.

10. The term of office of a member shall start at the first meeting of the Board in the calendar year following his or her election and shall end immediately before the first meeting of the Board in the calendar year following the term ends, as applicable two or three years thereafter.

11. If a member is unable to participate in two consecutive meetings of the Board or is unable to perform the functions and tasks set out by the Board, the Chair of the Advisory

Board will bring this matter to the attention of the Advisory Board and will seek clarification from the regional group that nominated that member on the status of his or her membership.

IV. Chair and Vice-Chair

12. The Advisory Board shall elect annually a Chair and a Vice-Chair from among the members referred to in paragraph 3(a) above for a term of one year each, with one being from an Annex I Party and the other being from a non-Annex I Party. The term shall start at the end of first meeting of the calendar year until the end of first meeting of the following calendar year. The positions of Chair and Vice-Chair shall alternate annually between a member from an Annex I Party and a member from a non-Annex I Party. After the Chair completes her or his term, the Vice-Chair shall be elected as the Chair, and another member shall be elected as Vice-Chair.

13. If the Chair is temporarily unable to fulfil the obligations of the office, the Vice-Chair shall serve as Chair. In the absence of the Chair and the Vice-Chair at a particular meeting, any other members identified in paragraph 3(a) above designated by the Board shall temporarily serve as the Chair of that meeting.

14. If the Chair or the Vice-Chair is unable to complete the term of office, the Board shall elect a replacement to complete the term of office, taking into account paragraph 12 above.

15. The Chair and the Vice-Chair shall collaborate in chairing meetings of the Board and in executing the work of the Board throughout the year so as to ensure coherence between meetings.

16. The Chair shall, inter alia, declare the opening and closing of the meeting, ensure the observance of these rules, accord the right to speak and announce decisions. The Chair shall rule on points of order and, subject to these rules, shall have complete control of the proceedings and over the maintenance of order.

17. The Chair and/or the Vice-Chair, or any member designated by the Board, shall report to the COP, to the Subsidiary Body for Implementation, and/or to the Subsidiary Body for Scientific and Technological Advice on behalf of the Board.

18. The Chair and/or the Vice-Chair, or any member designated by the Board, shall represent the Board at external meetings and shall report back to the Board on those meetings.

19. The Board may further define additional roles and responsibilities for the Chair and Vice-Chair.

20. The Chair and the Vice-Chair in the exercise of their functions remain under the authority of the Board.

V. Secretary

21. The Director of the CTCN shall be the Secretary of the Board.

22. The Secretary shall be responsible for facilitating and providing support to:

(a) Making the necessary arrangements for the meetings of the Board, including announcing meetings, issuing invitations and making available the documents for meetings;

(b) Maintaining meeting records and arranging for the storage and preservation of documents of meetings;

(c) Making available to the public documents of the meetings of the Board, unless a specific document is deemed confidential by the Board.

23. The Secretary shall be responsible for facilitating the tracking of the implementation of decisions on actions taken by the Board and report on the progress of these actions between meetings and at each meeting of the Board.

24. In addition, the Secretary shall facilitate support that the Board may require or that the COP may direct with respect to the work of the Board.

VI. Meetings

25. The Board shall meet twice per year, or more frequently if necessary, to discharge its responsibilities.

26. The meetings of the Board shall take place at the premises of the CTC, unless otherwise decided by the Board and subject to the necessary arrangements being made by the Secretary in consultation with the Chair and the Vice-Chair. Decisions on the location of meetings other than at the premises of the CTC shall take into account the benefits of venue rotation, particularly in developing countries and facilitating the participation of key stakeholders.

27. At the first Board meeting of each calendar year, the Chair, in consultation with the Vice-Chair, shall propose, for the approval of the Board, a provisional schedule of meetings for that calendar year.

28. If changes to the schedule or additional meetings are required, the Secretary shall notify members of the dates and venues of those meetings by circulating a notification and posting such information on the CTCN website at least eight weeks prior to that meeting. Where it is essential to facilitate the work of the Board, the Chair and Vice-Chair may decide to shorten the notification period.

29. Members are requested to confirm their attendance at meetings of the Board as early as possible and at least four weeks prior to that meeting.

30. The Chair and the Vice-Chair, with the assistance of the Secretary, will decide on the organization of a planned meeting if confirmation by members does not ensure quorum, as defined in section VII.

VII. Quorum

31. At least 11 of the Board members referred to in paragraph 3(a) above must be present to constitute a quorum, with a minimum of five being from Annex I Parties and a minimum of five being from non-Annex I Parties.

32. The quorum shall be verified by the Chair at the time of the adoption of decisions by the Board.

VIII. Agenda and documents for meetings

33. The Chair of the Board shall, in consultation with the Vice-Chair and assisted by the Secretary, prepare the provisional agenda for each meeting as well as a draft report of the meeting.
34. The provisional agenda for each meeting shall be transmitted to members at least four weeks in advance of the meeting.
35. Members may propose additions or changes to the provisional agenda, in writing, to the Secretary within one week of receiving the provisional agenda, and these additions or changes shall be included in a revised provisional agenda by the Secretary in agreement with the Chair and the Vice-Chair.
36. The Secretary shall indicate the administrative and financial implications of all substantive items on the proposed agenda.
37. The Secretary shall transmit the provisional annotated agenda and any supporting documentation to the members at least two weeks prior to that meeting. Documents may be transmitted after that date with the approval of the Chair and the Vice-Chair.
38. Documents for a meeting of the Board shall be published on the CTCN website at least one week prior to that meeting, unless it has been decided by the Chair and Vice-Chair that the documentation should be restricted to protect confidential information.
39. The Board shall, at the beginning of each meeting, adopt the meeting agenda.
40. Any item included in the agenda for a meeting of the Board, consideration of which has not been completed at that meeting, shall automatically be included on the provisional agenda for the next meeting, unless otherwise decided by the Board.

IX. Decision-making

41. Decisions of the Board will be taken by consensus of the Board members referred to in paragraph 3(a) and (b) above.
42. The Chair or Vice-Chair shall ascertain whether consensus has been reached. The Chair or Vice-Chair shall declare that a consensus does not exist if there is a stated objection to the proposed decision under consideration by a member of the Board referred to in paragraph 41 above.
43. If all efforts at reaching a consensus have been exhausted and no agreement has been reached, decisions shall be taken by a three-fourths majority of the members referred to in paragraph 41 above present and voting at the meeting. Members abstaining from voting shall be considered as not voting in determining the majority.
44. The Chair or Vice-Chair shall ensure quorum, as defined in section VII, before conducting a vote.
45. Decisions outside of official meetings may occur on an extraordinary basis when, in the judgement of the Chair and Vice-Chair, a decision must be taken by the Board that should not be postponed until the next meeting of the Board.
46. The Secretary, with the approval of the Chair and the Vice-Chair, shall transmit to each member a proposed decision with an invitation to approve the decision.
47. Each member's comments on the proposed decision shall be sent to the Secretary, and made available to all members including the attribution of those comments, during such period as the Secretary may prescribe, provided that such period is no less than two weeks.

48. At the expiration of the comments period, the decision shall be approved if there are a minimum of five votes in favour from members referred to in paragraph 3(a) above from Annex I Parties and five votes in favour from members referred to in paragraph 3(a) above from non-Annex I Parties and no objections from members referred to in paragraph 3(a) and (b) above.

49. Each member referred to in paragraph 3(a) and (b) above shall have one vote. For the purpose of this rule, the phrase “members present and voting” means members referred to in paragraph 3(a) and (b) above that are present at the meeting at which voting takes place, and casting an affirmative or negative vote.

X. Working language

50. The working language of the Board shall be English.

XI. Participation of expert advisors at meetings

51. The Advisory Board will invite expert observers to attend meetings based on specific requirements of the agenda.

52. The Chair may, in consultation with the Vice-Chair and members of the Board, invite representatives of intergovernmental and international organizations as well as the private sector and civil society to participate in the meeting of the Board as expert advisors on specific matters under consideration by the Board.

53. Secretary shall assist in identifying and arranging participation of expert observers as per the Board’s request.

XII. Participation of observers

54. The meetings of the Board shall be open to attendance as observers, by Parties, the Secretary, and accredited members of observer organizations, except where otherwise decided by the Board.

55. The Board may decide on additional procedures for the participation of observer organizations other than those accredited to the UNFCCC.

56. The Board may, in the interests of economy and efficiency, decide to limit the physical attendance of observers at its meetings.

57. The Board may decide at any time that a meeting or part thereof should be closed to observers.

58. The Secretary shall notify observers of the date and venue of the meeting that they may attend. Observers shall notify the Secretary at least two weeks in advance of a meeting of their intention to attend.

59. The Chair or the Vice-Chair will open the floor for intervention by observers at least once per meeting. In addition observers may, upon invitation from the Chair or the Vice-Chair and if members raise no objection, make presentations relating to matters under consideration by the Board.

XIII. Use of electronic means of communication

60. The Board will use electronic means of communication to facilitate work between meetings and to take decisions as described in paragraphs 45–48 above.

XIV. Amendments to the rules of procedure

61. These rules of procedure may be amended by the Board in accordance with paragraphs 41–43 above and to be effective must be approved formally by the COP. Pending formal approval, the Board may decide to apply the amendment provisionally.

XV. Overriding authority of the Convention

62. In the event of any conflict between any provisions of these rules and any provision of the Convention, the Convention shall take precedence.

第十次全体会议
2013年11月22日

第 26/CP.19 号决定

2012-2013 两年期预算执行情况

缔约方会议，

1. 注意到截至 2012 年 12 月 31 日的 2012-2013 两年期中期财务报表所载的资料、¹ 2012 年 1 月 1 日至 2013 年 6 月 30 日预算执行情况报告² 以及截至 2013 年 10 月 31 日向《气候公约》核心预算信托基金、补充活动信托基金和参加《气候公约》进程信托基金缴款的情况；³

2. 对那些及时向核心预算缴款的缔约方表示赞赏；

3. 吁请那些尚未向核心预算缴款的缔约方毫不拖延地缴款，同时铭记按照财务程序，缴款到期日为每年的 1 月 1 日；

4. 对缔约方向参加《气候公约》进程信托基金和补充活动信托基金缴款表示赞赏；

5. 重申赞赏德国政府每年向核心预算提供 766,938 欧元的自愿捐款并作为秘书处的东道国政府提供 1,789,522 欧元的特别捐款。

第十次全体会议
2013 年 11 月 22 日

¹ FCCC/SBI/2013/INF.4。

² FCCC/SBI/2013/14。

³ FCCC/SBI/2013/INF.15。

第 27/CP.19 号决定

2014-2015 两年期方案预算

缔约方会议，

忆及《联合国气候变化框架公约》缔约方会议财务程序第 4 段，¹

审议了执行秘书提出的 2014-2015 两年期方案概算，²

1. 承认执行秘书为了在执行 2012-2013 两年期方案预算期间实现 3%的效率增益而作出的努力；

2. 同意 2014-2015 年方案预算应反映方案支出 3%的特别效率红利 1,355,094 欧元；³

3. 核可 2014-2015 两年期方案预算总额 54,648,484 欧元，用于表 1 所列目的；

4. 赞赏地注意到东道国政府每年捐款 766,938 欧元，可冲抵计划的开支；

5. 核可从以往财务周期结转的节余或捐款中提取 2,800,000 欧元，用于抵补 2014-2015 两年期预算的部分开支；

6. 还核可方案预算员额表(表 2)；

7. 注意到方案预算包含与《公约》以及《京都议定书》有关的内容；

8. 还注意到核可的方案预算包含追加拨备，用于开展活动，加强现有的和新的任务的执行工作，以实现 FCCC/SBI/2013/6/Add.1 号文件所载适应行动方案以及缓解、数据和分析方案的各项目标；

9. 请秘书处作为例外和增进成本效益的措施之一，在 2014-2015 两年期对没有作出《京都议定书》之下第一或第二承诺期所列量化的减少或限制排放承诺的附件一缔约方年度温室气体清单只进行一次审查；

10. 强调缔约方需要利用德国波恩作为主要会议地点，以进一步节约开支；⁴

11. 通过附件所载 2014 年和 2015 年指示性分摊比额表，这些分摊额相当于表 1 所列指示性分摊额的 71.2%；

¹ 第 15/CP.1 号决定，附件一。

² FCCC/SBI/2013/6 和 Add.1-3。

³ 不包括用于执行《公约》之下的衡量、报告和核实制度的方案开支拨备，因为有关活动是新设的，包含若干准备在 2014-2015 两年期推行的具体的节约成本措施。

⁴ 第 25/CP.18 号决定，第 10 段，和第 13/CMP.8 号决定，第 11 段。

12. 请作为《京都议定书》缔约方会议的《公约》缔约方会议第九届会议批准建议的预算中适用于《京都议定书》的内容；

13. 还请联合国大会第六十八届会议(2013年9月17日至2014年9月15日)就从经常预算中支付会议服务费用问题作出决定；

14. 核可会议服务应急预算 8,381,600 欧元，在联合国大会决定不从联合国经常预算为这些活动提供资金时列入 2014-2015 两年期方案预算(表 3)；

15. 请执行秘书必要时向附属履行机构报告以上第 8 和第 14 段的执行情况；

16. 授权执行秘书在表 1 所列各项主要拨款之间进行调拨，调拨总额不得超过这些拨款项目开支概算总额的 15%，而且每项拨款的调出数额以不超过 25% 为限；

17. 决定周转准备金保持在开支概算的 8.3%；

18. 请《公约》所有缔约方注意，按照财务程序第 8 段(b)分段，应于每年 1 月 1 日缴纳核心预算摊款，并迅速全额支付以上第 3 段核可的 2014 和 2015 年每一年的开支摊款，以及以上第 14 段所述决定涉及开支的任何摊款；

19. 授权执行秘书利用自愿捐款和核心预算下可资利用的资源，执行缔约方会议第十九届会议作出但核可的预算没有供资的决定；

20. 促请缔约方作出必要的自愿捐款，以利及时执行交给秘书处的各项任务，并负担支持执行与衡量、报告和核实相关的进程的那些需求，如果核心预算不能充分满足需求的核定数额；

21. 注意到执行秘书编列的参与《气候公约》进程信托基金所需资金估计数(表 4)，并请缔约方为此基金捐款；

22. 还注意到执行秘书为 2014-2015 两年期编列的补充活动信托基金所需资金估计数(47,790,786 欧元)(表 5)，并请缔约方为此基金捐款；

23. 请执行秘书向缔约方会议第二十届会议(2014 年 12 月)报告收入和预算执行情况，并提出可能需要对 2014-2015 两年期方案预算进行的任何调整。

表 1
按方案分列的 2014-2015 年核心概算(欧元)

	2014 年	2015 年	合计
A. 方案拨款			
行政领导和管理	2 255 945	2 266 985	4 522 930
缓解、数据和分析	6 723 151	7 985 348	14 708 499
资金、技术和能力建设	2 747 990	2 856 490	5 604 480
适应	2 478 449	2 466 039	4 944 488
可持续发展机制	552 174	552 174	1 104 348
法律事务	1 352 010	1 323 010	2 675 020
会议事务服务	1 711 631	1 732 131	3 443 762
通信和外联 ^a	1 611 090	1 611 090	3 222 180
信息技术服务	2 949 246	2 949 579	5 898 825
行政服务 ^b			
B. 全秘书处业务费用^b	1 753 803	1 577 864	3 331 667
方案支出(A + B)	24 135 489	25 320 710	49 456 199
减去: 特别效率红利	678 702	676 392	1 355 094
C. 订正方案支出	23 456 787	24 644 318	48 101 105
D. 方案支助费用(管理费)^c	3 049 387	3 203 761	6 253 148
E. 周转准备金调整^d	182 852	111 379	294 231
合计(C + D + E)	26 689 026	27 959 458	54 648 484
收入			
东道国政府捐款	766 938	766 938	1 533 876
以往财务期末用结余或缴款(结转)	1 400 000	1 400 000	2 800 000
指示性缴款	24 522 088	25 792 520	50 314 608
收入合计	26 689 026	27 959 458	54 648 484

^a 行政服务由方案支助费用(间接费用)供资。

^b 全秘书处业务费用由行政服务管理。

^c 就行政支助收取 13%的标准费用。见 FCCC/SBI/2013/6 号文件第十一章。

^d 根据财务程序(第 15/CP.1 号决定), 要求核心预算保持 8.3%的周转准备金(相当于一个月的业务开支要求)。周转准备金总额 2015 年将增加到 2,311,391 欧元。

表 2
全秘书处由核心预算供资的员额

	2014 年	2015 年
专业及专业以上职类 ^a		
ASG	1	1
D-2	3	3
D-1	7	7
P-5	15	15
P-4	35	35
P-3	41	43
P-2	15	16
专业及专业以上职类小计	117	120
一般事务人员职类小计	52.5	53.5
合计	169.5	173.5

^a 助理秘书长(ASG)、主任(D)、专业人员(P)。

表 3
会议服务应急资源需求(欧元)

	2014 年	2015 年	2014-2015 年
支出用途			
口译 ^a	953 700	982 300	1 936 000
文件 ^b			
翻译	1 762 100	1 815 000	3 577 100
印发	596 300	614 200	1 210 500
会议服务支助 ^c	194 100	199 900	394 000
小计	3 506 200	3 611 400	7 117 600
方案支助费用	455 800	469 500	925 300
周转准备金	328 800	9 900	338 700
合计	4 290 800	4 090 800	8 381 600

说明：用于计算会议服务应急需求预算的假设如下：

- (a) 每届会议预计提供口译的会议数量不超过 40 次；
- (b) 预期的文件量是依据联合国日内瓦办事处提供的计算结果得出；
- (c) 各次会议的服务支助包括联合国日内瓦办事处会议事务处通常为会期协调和支助口译、笔译和复制服务提供的工作人员；
- (d) 总的来说，所用的数字较保守，是在这样一种假设的基础上采用的：即本两年期内需求不会大幅度增加。

^a 包括口译的薪金、旅费和每日生活津贴。

^b 包括与处理会前、会期和会后文件有关的所有费用；笔译费用包括文件的审校和打字。

^c 包括会议服务支助人员的薪金、旅费和每日生活津贴以及装运和电信费。

表 4

2014-2015 两年期参加《气候公约》进程信托基金资源需要

代表人数	估计费用(欧元)
支助每一符合资格的缔约方的一位代表参加在德国波恩召开的一周届会	615 000
支助每一符合资格的缔约方的一位代表参加在波恩召开的两周届会	950 000
支助每一符合资格的缔约方的一位代表外加支助每个最不发达国家和每个小岛屿发展中国家的第二名代表参加的在波恩召开的两周届会	1 485 000
支助每一符合资格的缔约方的两名代表参加的在波恩召开的两周届会	1 905 000
支助每一符合资格的缔约方的两位代表外加支助每个最不发达国家和每个小岛屿发展中国家的一位代表参加的在波恩召开的两周届会	2 465 000

表 5

2014-2015 两年期补充活动信托基金资源需求

将由秘书处开展的活动	欧元
《公约》	
(ADP)支持德班加强行动平台问题特设工作组(特设工作组)	1 973 613
支持四次额外的特设工作组会议	4 921 602
支持按照第 1/CP.16 号和 2/CP.17 号决定制定发达国家缔约方监测、报告和核实模式和指南的工作方案	1 506 832
支持非附件一缔约方国家信息通报工作和执行重建非《公约》附件一缔约方国家信息通报问题专家咨询小组的工作方案	2 073 311
支持非附件一缔约方执行温室气体清单和有关活动,包括为非附件一缔约方进一步开发和维持温室气体清单软件和支持国家森林监测系统	2 704 768
支持发展中国家缔约方开展加强减缓行动	3 649 527
适合本国的减缓行动登记册的建立、部署和运用	1 166 748
包括所有发达国家缔约方量化的限制和减少排放目标在内的可衡量、可报告和可核实的适合本国的减缓承诺或行动,同时在顾及它们国情差异的前提下确保各自努力之间的可比性	2 006 793
支持执行关于气候变化教育、宣传和公众参与的工作方案	356 899
支持融资问题常设委员会的工作	1 304 834
支持技术机制的实施和技术执行委员会的工作,包括落实为增强执行《公约》第四条第 5 款采取有意义和有效行动的框架	1 105 400
支持执行《坎昆适应行动框架》	4 643 441
支持最不发达国家和最不发达国家专家组	1 457 418
支持执行关于气候变化影响、脆弱性和适应的内罗毕工作方案	1 507 601
支持与气候变化科学、研究和系统观测有关的活动	352 567
支持定期审评第 1/CP.16 号决定第 4 段所指长期全球目标是否适足	935 685
利益攸关者的参与和知识管理	912 964
小计	32 580 001

将由秘书处开展的活动	欧元
《京都议定书》	
开发和维持《京都议定书》之下的汇编和核算数据库	429 369
支持《京都议定书》履约委员会	515 079
小计	944 448
《公约》和《京都议定书》	
支持关于土地利用、土地利用的变化和林业的活动：减少毁林和森林退化所致排放量，增强碳汇，各种汇在未来缓解行动中的作用	2 936 893
为专家审评组提供培训和安排主任审评员会议	1 899 259
支持有关执行应对措施影响的活动	555 282
维持和开发《气候公约》接收、处理和审查温室气体数据的信息系统，包括《气候公约》提交门户、清单虚拟团队室和温室气体数据接口	343 370
便利执行关于修订“《公约》附件一所列缔约方国家信息通报编制指南，第一部分：《气候公约》年度清单报告指南”的工作方案、使用政府间气候变化专家委员会的《2006年气专委国家温室气体清单编制指南》和修订与《京都议定书》第五、七和八条有关的条款	174 020
支持升级版通用报告格式报告软件，以报告附件一缔约方的温室气体排放量	909 303
支持执行根据第 2/CP.7 号决定设立的发展中国家能力建设框架和根据第 3/CP.7 号决定设立的经济转型国家能力建设框架	402 099
支持执行《公约》第七款第 6 条，以及在届会期间举办的会外活动和会议展览	836 923
管理秘书处业务档案	848 223
为《气候公约》历史纪录提供档案服务	1 374 204
录音和录像数字化	1 170 462
发展秘书处内部的通信工具和渠道，确保管理部门与工作人员之间以及工作人员之间的交流，以促进公司文化和参与	235 085
重新启动《气候公约》网站：第二阶段—从谈判支持到气候行动	1 802 034
开展数字媒体运动，为缔约方会议第二十一届会议造势	330 005
维持西班牙语《气候公约》信息门户网站	184 755
在联合国气候变化会议筹备期开展国家媒体培训	264 420
小计	14 266 337
总计	47 790 786

附件

表 6
2014-2015 两年期《公约》缔约方指示性分摊比额表

缔约方	2014 年联合国 分摊比额表	2014 年调整后的 《气候公约》 分摊比额表	2015 年调整后的 《气候公约》 分摊比额表
阿富汗	0.005	0.005	0.005
阿尔巴尼亚	0.010	0.010	0.010
阿尔及利亚	0.137	0.134	0.134
安道尔	0.008	0.008	0.008
安哥拉	0.010	0.010	0.010
安提瓜和巴布达	0.002	0.002	0.002
阿根廷	0.432	0.421	0.421
亚美尼亚	0.007	0.007	0.007
澳大利亚	2.074	2.022	2.022
奥地利	0.798	0.778	0.778
阿塞拜疆	0.040	0.039	0.039
巴哈马	0.017	0.017	0.017
巴林	0.039	0.038	0.038
孟加拉国	0.010	0.010	0.010
巴巴多斯	0.008	0.008	0.008
白俄罗斯	0.056	0.055	0.055
比利时	0.998	0.973	0.973
伯利兹	0.001	0.001	0.001
贝宁	0.003	0.003	0.003
不丹	0.001	0.001	0.001
多民族玻利维亚国	0.009	0.009	0.009
波斯尼亚和黑塞哥维那	0.017	0.017	0.017
博茨瓦纳	0.017	0.017	0.017
巴西	2.934	2.861	2.861
文莱达鲁萨兰国	0.026	0.025	0.025
保加利亚	0.047	0.046	0.046
布基纳法索	0.003	0.003	0.003
布隆迪	0.001	0.001	0.001
柬埔寨	0.004	0.004	0.004
喀麦隆	0.012	0.012	0.012
加拿大	2.984	2.909	2.909
佛得角	0.001	0.001	0.001

缔约方	2014年联合国 分摊比额表	2014年调整后的 《气候公约》 分摊比额表	2015年调整后的 《气候公约》 分摊比额表
中非共和国	0.001	0.001	0.001
乍得	0.002	0.002	0.002
智利	0.334	0.326	0.326
中国	5.148	5.019	5.019
哥伦比亚	0.259	0.253	0.253
科摩罗	0.001	0.001	0.001
刚果	0.005	0.005	0.005
库克群岛	0.001	0.001	0.001
哥斯达黎加	0.038	0.037	0.037
科特迪瓦	0.011	0.011	0.011
克罗地亚	0.126	0.123	0.123
古巴	0.069	0.067	0.067
塞浦路斯	0.047	0.046	0.046
捷克共和国	0.386	0.376	0.376
朝鲜民主主义人民共和国	0.006	0.006	0.006
刚果民主共和国	0.003	0.003	0.003
丹麦	0.675	0.658	0.658
吉布提	0.001	0.001	0.001
多米尼克	0.001	0.001	0.001
多米尼加共和国	0.045	0.044	0.044
厄瓜多尔	0.044	0.043	0.043
埃及	0.134	0.131	0.131
萨尔瓦多	0.016	0.016	0.016
赤道几内亚	0.010	0.010	0.010
厄立特里亚	0.001	0.001	0.001
爱沙尼亚	0.040	0.039	0.039
埃塞俄比亚	0.010	0.010	0.010
欧洲联盟	2.500	2.500	2.500
斐济	0.003	0.003	0.003
芬兰	0.519	0.506	0.506
法国	5.593	5.453	5.453
加蓬	0.020	0.020	0.020
冈比亚	0.001	0.001	0.001
格鲁吉亚	0.007	0.007	0.007
德国	7.141	6.963	6.963
加纳	0.014	0.014	0.014
希腊	0.638	0.622	0.622

缔约方	2014年联合国 分摊比额表	2014年调整后的 《气候公约》 分摊比额表	2015年调整后的 《气候公约》 分摊比额表
格林纳达	0.001	0.001	0.001
危地马拉	0.027	0.026	0.026
几内亚	0.001	0.001	0.001
几内亚比绍	0.001	0.001	0.001
圭亚那	0.001	0.001	0.001
海地	0.003	0.003	0.003
洪都拉斯	0.008	0.008	0.008
匈牙利	0.266	0.259	0.259
冰岛	0.027	0.026	0.026
印度	0.666	0.649	0.649
印度尼西亚	0.346	0.337	0.337
伊朗(伊斯兰共和国)	0.356	0.347	0.347
伊拉克	0.068	0.066	0.066
爱尔兰	0.418	0.408	0.408
以色列	0.396	0.386	0.386
意大利	4.448	4.337	4.337
牙买加	0.011	0.011	0.011
日本	10.833	10.562	10.562
约旦	0.022	0.021	0.021
哈萨克斯坦	0.121	0.118	0.118
肯尼亚	0.013	0.013	0.013
基里巴斯	0.001	0.001	0.001
科威特	0.273	0.266	0.266
吉尔吉斯斯坦	0.002	0.002	0.002
老挝人民民主共和国	0.002	0.002	0.002
拉脱维亚	0.047	0.046	0.046
黎巴嫩	0.042	0.041	0.041
莱索托	0.001	0.001	0.001
利比里亚	0.001	0.001	0.001
利比亚	0.142	0.138	0.138
列支敦士登	0.009	0.009	0.009
立陶宛	0.073	0.071	0.071
卢森堡	0.081	0.079	0.079
马达加斯加	0.003	0.003	0.003
马拉维	0.002	0.002	0.002
马来西亚	0.281	0.274	0.274
马尔代夫	0.001	0.001	0.001

缔约方	2014年联合国 分摊比额表	2014年调整后的 《气候公约》 分摊比额表	2015年调整后的 《气候公约》 分摊比额表
马里	0.004	0.004	0.004
马耳他	0.016	0.016	0.016
马绍尔群岛	0.001	0.001	0.001
毛里塔尼亚	0.002	0.002	0.002
毛里求斯	0.013	0.013	0.013
墨西哥	1.842	1.796	1.796
密克罗尼西亚(联邦)	0.001	0.001	0.001
摩纳哥	0.012	0.012	0.012
蒙古	0.003	0.003	0.003
黑山	0.005	0.005	0.005
摩洛哥	0.062	0.060	0.060
莫桑比克	0.003	0.003	0.003
缅甸	0.010	0.010	0.010
纳米比亚	0.010	0.010	0.010
瑙鲁	0.001	0.001	0.001
尼泊尔	0.006	0.006	0.006
荷兰	1.654	1.613	1.613
新西兰	0.253	0.247	0.247
尼加拉瓜	0.003	0.003	0.003
尼日尔	0.002	0.002	0.002
尼日利亚	0.090	0.088	0.088
纽埃	0.001	0.001	0.001
挪威	0.851	0.830	0.830
阿曼	0.102	0.099	0.099
巴基斯坦	0.085	0.083	0.083
帕劳	0.001	0.001	0.001
巴拿马	0.026	0.025	0.025
巴布亚新几内亚	0.004	0.004	0.004
巴拉圭	0.010	0.010	0.010
秘鲁	0.117	0.114	0.114
菲律宾	0.154	0.150	0.150
波兰	0.921	0.898	0.898
葡萄牙	0.474	0.462	0.462
卡塔尔	0.209	0.204	0.204
大韩民国	1.994	1.944	1.944
摩尔多瓦共和国	0.003	0.003	0.003
罗马尼亚	0.226	0.220	0.220

缔约方	2014年联合国 分摊比额表	2014年调整后的 《气候公约》 分摊比额表	2015年调整后的 《气候公约》 分摊比额表
俄罗斯联邦	2.438	2.377	2.377
卢旺达	0.002	0.002	0.002
圣基茨和尼维斯	0.001	0.001	0.001
圣卢西亚	0.001	0.001	0.001
圣文森特和格林纳丁斯	0.001	0.001	0.001
萨摩亚	0.001	0.001	0.001
圣马力诺	0.003	0.003	0.003
圣多美和普林西比	0.001	0.001	0.001
沙特阿拉伯	0.864	0.842	0.842
塞内加尔	0.006	0.006	0.006
塞尔维亚	0.040	0.039	0.039
塞舌尔	0.001	0.001	0.001
塞拉利昂	0.001	0.001	0.001
新加坡	0.384	0.374	0.374
斯洛伐克	0.171	0.167	0.167
斯洛文尼亚	0.100	0.098	0.098
所罗门群岛	0.001	0.001	0.001
索马里	0.001	0.001	0.001
南非	0.372	0.363	0.363
西班牙	2.973	2.899	2.899
斯里兰卡	0.025	0.024	0.024
苏丹	0.010	0.010	0.010
苏里南	0.004	0.004	0.004
斯威士兰	0.003	0.003	0.003
瑞典	0.960	0.936	0.936
瑞士	1.047	1.021	1.021
阿拉伯叙利亚共和国	0.036	0.035	0.035
塔吉克斯坦	0.003	0.003	0.003
泰国	0.239	0.233	0.233
前南斯拉夫的马其顿共和国	0.008	0.008	0.008
东帝汶	0.002	0.002	0.002
多哥	0.001	0.001	0.001
汤加	0.001	0.001	0.001
特立尼达和多巴哥	0.044	0.043	0.043
突尼斯	0.036	0.035	0.035
土耳其	1.328	1.295	1.295
土库曼斯坦	0.019	0.019	0.019

缔约方	2014年联合国 分摊比额表	2014年调整后的 《气候公约》 分摊比额表	2015年调整后的 《气候公约》 分摊比额表
图瓦卢	0.001	0.001	0.001
乌干达	0.006	0.006	0.006
乌克兰	0.099	0.097	0.097
阿拉伯联合酋长国	0.595	0.580	0.580
大不列颠及北爱尔兰联合王国	5.179	5.050	5.050
坦桑尼亚联合共和国	0.009	0.009	0.009
美利坚合众国	22.000	21.450	21.450
乌拉圭	0.052	0.051	0.051
乌兹别克斯坦	0.015	0.015	0.015
瓦努阿图	0.001	0.001	0.001
委内瑞拉玻利瓦尔共和国	0.627	0.611	0.611
越南	0.042	0.041	0.041
也门	0.010	0.010	0.010
赞比亚	0.006	0.006	0.006
津巴布韦	0.002	0.002	0.002
合计	102.498	100.000	100.000

第十次全体会议
2013年11月23日

第 28/CP.19 号决定

未来届会的日期和地点

缔约方会议，

忆及《公约》第七条第 4 款，

还忆及联合国大会 1985 年 12 月 18 日关于会议时地分配安排的第 40/243 号决议，

又忆及目前暂时适用的议事规则草案中关于主席一职由五个区域集团轮流担任的第 22 条第 1 款，

一. 未来届会的日期和地点

A. 《公约》缔约方会议第二十届会议和作为《京都议定书》缔约方会议的《公约》缔约方会议第十届会议

1. 决定赞赏地接受秘鲁政府提议在秘鲁利马承办 2014 年 12 月 1 日星期一至 12 月 12 日星期五举行的《公约》缔约方会议第二十届会议和作为《京都议定书》缔约方会议的《公约》缔约方会议第十届会议，¹但须由《公约》缔约方会议和作为《京都议定书》缔约方会议的《公约》缔约方会议主席团根据联合国大会第 40/243 号决议，核实是否具备承办上述会议的所有后勤、技术和资金条件，并成功缔结《东道国协定》；

2. 请执行秘书继续与秘鲁政府磋商并谈判一项符合联合国行政指示 ST/AI/342 规定的、关于举行会议的《东道国协定》，以期不迟于附属科学技术咨询机构和附属履行机构第四十届会议(2014 年 6 月)缔结并签署《东道国协定》；

B. 《公约》缔约方会议第二十一届会议和作为《京都议定书》缔约方会议的《公约》缔约方会议第十一届会议

3. 决定赞赏地接受法国政府提议在法国巴黎承办 2015 年 11 月 30 日星期一至 12 月 11 日星期五举行的《公约》缔约方会议第二十一届会议和作为《京都议定书》缔约方会议的《公约》缔约方会议第十一届会议，²但须由《公约》缔约方

¹ 此处列出日期，即修改原先第 19/CP.17 号决定第 8(a)段和第 26/CP.18 号决定第 4 段所示《公约》缔约方会议第二十届会议和作为《京都议定书》缔约方会议的《公约》缔约方会议第十届会议日期。

² 此处列出日期，即修改原先第 19/CP.17 号决定第 8(b)段和第 26/CP.18 号决定第 6 段所示《公约》缔约方会议第二十一届会议和作为《京都议定书》缔约方会议的《公约》缔约方会议第十一届会议日期。

会议和作为《京都议定书》缔约方会议的《公约》缔约方会议主席团根据联合国大会第 40/243 号决议，核实是否具备承办上述会议的所有后勤、技术和资金条件，并成功缔结《东道国协定》；

4. 请执行秘书继续与法国政府磋商并谈判一项符合联合国行政指示 ST/AI/342 规定的、关于举行会议的《东道国协定》，以期不迟于附属科学技术咨询机构和附属履行机构第四十一届会议(2015 年 6 月)缔结并签署《东道国协定》；

C. 《公约》缔约方会议第二十二届会议和作为《京都议定书》缔约方会议的《公约》缔约方会议第十二届会议

5. 注意到根据各区域集团轮流的原则，并根据各集团之间最近磋商的情况，《公约》缔约方会议第二十二届会议和作为《京都议定书》缔约方会议的《公约》缔约方会议第十二届会议的主席将从非洲国家中产生；

6. 注意到塞内加尔政府提出承办《公约》缔约方会议第二十二届会议和作为《京都议定书》缔约方会议的《公约》缔约方会议第十二届会议(2016 年 11/12 月)；

二. 《公约》各机构的会议日历

7. 决定通过《公约》各机构 2018 年的以下会期：

- (a) 5 月 2 日星期三至 5 月 13 日星期日；
- (b) 11 月 7 日星期三至 12 月 18 日星期日。

第八次全体会议
2013 年 11 月 22 日

第 1/CP.19 号决议

向波兰共和国政府和华沙市人民表示感谢

秘鲁提出的决议草案

《公约》缔约方会议和作为《京都议定书》缔约方会议的《公约》缔约方会议，

应波兰共和国政府邀请于 2013 年 11 月 11 日至 11 月 22 日在华沙举行了会议，

1. 表示深切感谢波兰共和国政府帮助使《公约》缔约方会议第十九届会议和作为《京都议定书》缔约方会议的《公约》缔约方会议第九届会议得以在华沙举行；

2. 请波兰共和国政府向华沙市和人民转达《公约》缔约方会议和作为《京都议定书》缔约方会议的《公约》缔约方会议的感激之情，感谢他们给予与会者的盛情接待和热烈欢迎。

第十次全体会议
2013 年 11 月 23 日