



United Nations

FCCC/SBI/2016/15



Framework Convention on
Climate Change

Distr.: General
13 September 2016

Original: English

Subsidiary Body for Implementation

Forty-fifth session

Marrakech, 7–14 November 2016

Item 4(b) of the provisional agenda

Reporting from Parties not included in Annex I to the Convention

Work of the Consultative Group of Experts on National Communications from

Parties not included in Annex I to the Convention

Regional training workshops on the preparation of biennial update reports from non-Annex I Parties

Report by the secretariat

Summary

The Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention, with the assistance of the secretariat, conducted three regional training workshops in 2016 on the preparation of biennial update reports (BURs) from Parties not included in Annex I to the Convention. For the Africa region the workshop was held in Lomé, Togo, from 22 to 24 February; for Asia-Pacific and Eastern Europe the workshop was held in Colombo, Sri Lanka, from 4 to 6 April; and for Latin American and the Caribbean the workshop was held in Rodney Bay, Saint Lucia, from 4 to 6 July. The aim of these workshops was to enhance the capacity of national experts in using the “UNFCCC biennial update reporting guidelines for Parties not included in Annex I to the Convention” to facilitate the preparation of their country’s BUR and to serve as a platform for the exchange of views, lessons learned and experiences relating to the process of, and preparation of, BURs. This report outlines the proceedings of the workshops and includes a summary of the discussions.

GE.16-15791(E)



* 1 6 1 5 7 9 1 *

Please recycle



Contents

	<i>Paragraphs</i>	<i>Page</i>
I. Introduction	1–7	3
A. Mandate	1–5	3
B. Scope of the report.....	6	3
C. Possible action by the Subsidiary Body of Implementation	7	3
II. Summary of the proceedings	8–12	4
III. Summary of the discussions from the regional training workshops	13–18	5
A. Reporting on national circumstances and institutional arrangements in biennial update reports.....	15	5
B. Reporting on national greenhouse gas inventories.....	16	7
C. Reporting on mitigation actions and their effects	17	8
D. Reporting on constraints and gaps, and related finance, technology and capacity-building needs and support received	18	9
IV. Conclusions	19–22	9
 Annexes		
I. Agenda for the regional training workshops on the preparation of biennial update reports from non-Annex I Parties		12
II. Mock exercises for the regional training workshops on the preparation of biennial update reports from non-Annex I Parties.....		15

I. Introduction

A. Mandate

1. The Conference of the Parties (COP), by decision 19/CP.19, continued the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention (CGE) for a period of five years, from 2014 to 2018, and decided that the CGE, in fulfilling its mandate, shall function in accordance with the revised terms of reference contained in the annex to that decision.
2. In keeping with those terms of reference, the CGE developed at its first meeting for 2016, held in Bonn, Germany, from 2 to 4 February 2016, a work programme for the period 2016–2018.¹
3. As part of its 2016 workplan, the CGE agreed to conduct a second round of regional training workshops for Parties not included in Annex I to the Convention (non-Annex I Parties) on the preparation of biennial update reports (BURs), which were held in:
 - (a) Lomé, Togo, for the African region from 22 to 24 February 2016;
 - (b) Colombo, Sri Lanka, for the Asia-Pacific and Eastern Europe regions from 4 to 6 April 2016;
 - (c) Rodney Bay, Saint Lucia, for the Latin American and the Caribbean region from 4 to 6 July 2016.
4. The first round of regional training workshops was conducted between 2014 and 2015.²
5. The COP, by decision 19/CP.19, requested the CGE to submit a progress report annually on its work to the Subsidiary Body for Implementation (SBI) for consideration at its sessions held in conjunction with the sessions of the COP.³

B. Scope of the report

6. This report, prepared as a part of the reporting on the progress of work of the CGE,⁴ contains a summary of the proceedings and discussions at the regional training workshops referred to in paragraph 3 above.

C. Possible action by the Subsidiary Body of Implementation

7. The SBI, having considered this report, may wish to provide further guidance to the CGE, as appropriate, on the provision of technical assistance to non-Annex I Parties on the preparation of BURs.

¹ FCCC/SBI/2016/xx.

² FCCC/SBI/2014/18.

³ Decision 19/CP.19, paragraph 7.

⁴ Together with documents FCCC/SBI/2016/16 and FCCC/SBI/2016/17.

II. Summary of the proceedings

8. In 2016, the CGE conducted three regional training workshops for non-Annex I Parties on the preparation of BURs:

(a) The regional training workshop for the Africa region on the preparation of BURs was hosted by the Government of Togo in Lomé from 22 to 24 February. The workshop was attended by 48 national experts representing 43 non-Annex I Parties from the African region, as well as by 6 CGE members;

(b) The regional training workshop for the Asia-Pacific and Eastern Europe regions on the preparation of BURs was hosted by the Government of Sri Lanka in Colombo, Sri Lanka, from 4 to 6 April. The workshop was attended by 51 national experts representing 36 non-Annex I Parties from the Asia-Pacific and Eastern Europe regions, as well as by 6 CGE members;

(c) The regional training workshop for the Latin American and the Caribbean region on the preparation of BURs was hosted by the Government of Saint Lucia in Rodney Bay, Saint Lucia, from 4 to 6 July. The workshop was attended by 37 national experts representing 21 non-Annex I Parties from the Latin American and the Caribbean region, as well as by 10 CGE members.

9. The main objectives of the regional training workshops were, inter alia:

(a) To enhance the capacity of national experts in using the “UNFCCC biennial update reporting guidelines for Parties not included in Annex I to the Convention” (hereinafter referred to as UNFCCC reporting guidelines on BURs) to facilitate the preparation of their country’s BURs;

(b) To serve as a platform for the exchange of views, lessons learned and experiences relating to the process of, and preparation of, national communications and BURs, as appropriate.

10. All three regional workshops were conducted following a similar agenda⁵ and were designed to cover all of the core elements of reporting in BURs through an interactive approach:

(a) Overview of the measurement, reporting and verification (MRV) framework for developing country Parties under the Convention and the transparency framework for action and support under the Paris Agreement;

(b) Support for the preparation of BURs;

(c) Reporting on national circumstances and institutional arrangements for BURs;

(d) Reporting on national greenhouse gas (GHG) inventories;

(e) Reporting on mitigation actions and their effects;

(f) Reporting on constraints and gaps, and related finance, technology and capacity-building needs and support received.

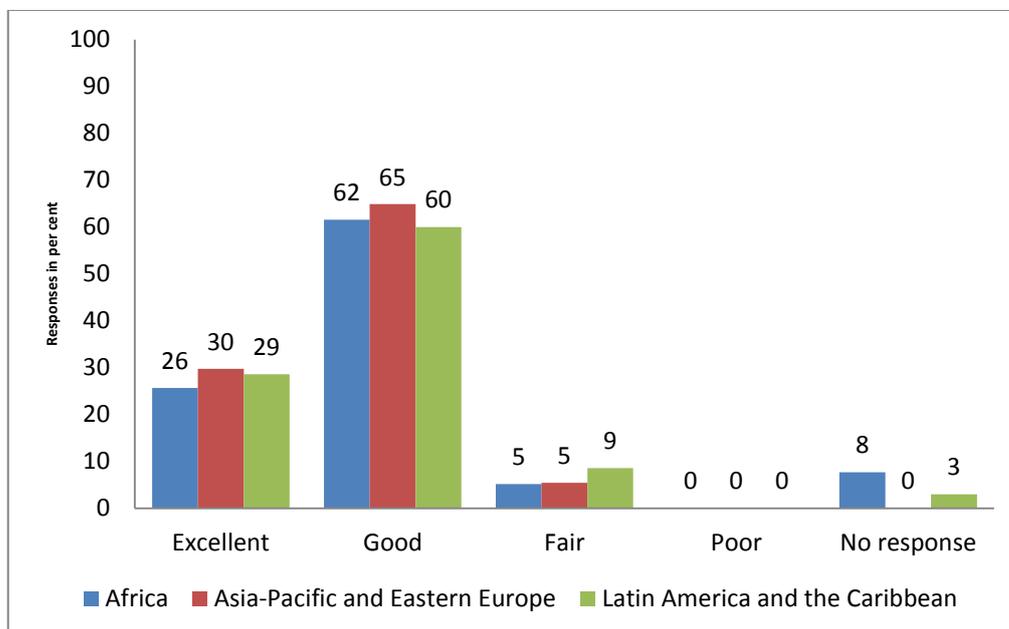
11. For most of these elements, the workshops included technical presentations in plenary sessions, question and answer sessions and interactive hands-on mock exercises⁶ in breakout groups.

⁵ The generic agenda used for the regional training workshops is included in annex I.

⁶ The generic mock exercises used for the regional training workshops are included in annex II.

12. The participants generally found the workshop to be either excellent or good, as reflected in the figure below. A summary capturing the discussions at the workshops is provided in chapter III below.

Feedback from participants on the quality of the workshops



III. Summary of the discussions from the regional training workshops

13. The presentations for each thematic area focused on explaining the relevant reporting provisions and approaches in the preparation of BURs, including concrete examples for the thematic areas. The presentations were followed by question and answer sessions and breakout group exercises, where the participants engaged in hands-on exercises using predefined case studies, to prepare information in accordance with the reporting provisions contained in the UNFCCC reporting guidelines on BURs. These exercises⁷ were designed to provide participants with a first-hand feel and experience of applying the reporting provisions contained in the UNFCCC reporting guidelines on BURs and also to trigger an exchange of views and lessons learned during the process of, and preparation of, their first BURs.

14. The key elements of the discussions under each of these sessions are summarized below. A summary of the discussion under the session “Support for the preparation of BURs” is not presented separately; instead, the key elements of this session are discussed within the context of the substantive themes covered below.

A. Reporting on national circumstances and institutional arrangements in biennial update reports

15. The interactive discussions in this session resulted in the following observations:

⁷ The mock exercises are included in annex II.

(a) The ability to identify and implement the key elements necessary to establish institutional arrangements for reporting on a continuous basis, including on matters related to domestic MRV, was highlighted as a critical issue experienced in some countries. The need to have a robust institutional arrangement is viewed as an important factor in facilitating efficiency gain, avoiding duplication of efforts, and exploring synergies within and across the relevant agencies;

(b) The reporting provisions for institutional arrangements is not clear and in the light of the importance for reporting BURs on a continuous basis, the information to be reported needs to be outlined more clearly, to provide greater flexibility to the national circumstances of countries. The reporting provisions on institutional arrangements should include criteria for continuous improvement: planning, implementation and evaluation;

(c) The challenges related to institutional arrangements include developing suitable and effective approaches to engage other ministries that are, in most cases, repositories of information relevant for reporting in the BUR, and building sustainable arrangements within and between ministries, given that many countries deal with a high turnover in personnel. Other challenges identified include a lack of coherent priorities across different agencies and also changes of policy directions associated with the changing visions of new governments;

(d) Recognizing the importance of establishing and implementing regulatory frameworks to address climate change could facilitate the preparation of national communications and BURs. In that regard, some countries shared their success stories and expressed their expectation that these successful actions would support them in preparing and submitting these reports on a continuous basis;

(e) Collaboration protocols between agencies and ministries are deemed important, to ensure the exchange and sharing of information. To that effect, preparing and putting in place a memorandum of understanding among the key relevant agencies to outline their roles and responsibilities has been identified as a successful means to foster this relationship. Further, establishing working committees endorsed by high-level decision-making bodies and putting in place a suitable legal framework to facilitate the exchange and sharing of information relevant to climate change can also contribute towards strengthening this relationship;

(f) A prominently placed coordinating agency – for example, the Office of the Prime Minister or President – can positively impact the success with which areas related to climate change are addressed. Participants also indicated that such an arrangement would provide political guidance, which is critical to the process;

(g) Institutions should be set up in such a manner that they are sustainable in the long term by, among other things, identifying and allocating dedicated funding for preparing BURs, and establishing and maintaining centralized databases and information-sharing arrangements;

(h) In the event that external entities and consultants are engaged for the preparation of BURs, the governmental entity (or entities) responsible for coordinating the work must ensure that there is capacity-building and transfer of knowledge from consultants to the national experts. A possible approach to overcome this challenge is by centralizing this function in a key government institution that can serve as a repository of the institutional memory;

(i) Overcoming the challenge of using external consultants to prepare BURs is critical; their services are usually not retained beyond the preparation of the BUR and in their absence Parties are not able to provide some areas of technical clarification during the technical analysis of BURs and the facilitative sharing of views (FSV) workshop. A

possible solution would be to include clauses in the terms of reference and contracts signed with the consultants, either requiring them to share all information and data gathered during their consultancy with the coordinating and/or relevant agency, or retaining their services beyond the preparation of BURs. Further, an additional clause could be included to address areas related to capacity-building that could provide a basis for the national teams to maintain and enhance their capacity in conducting research and analyses that underpin the BURs;

(j) Recognizing that the aim of the international consultation and analysis (ICA) is to improve the transparency of mitigation actions, the information reported on national circumstances should reflect the special circumstances of the country, including the relevant national policies, and reflect information relevant to its ability to prepare and report on mitigation actions.

B. Reporting on national greenhouse gas inventories

16. The interactive discussions in these sessions resulted in the following observations:

(a) There is a keen interest among participants to receive capacity-building on the use of the Intergovernmental Panel on Climate Change (IPCC) *2006 IPCC Guidelines for National Greenhouse Gas Inventories*;

(b) Participants highlighted the persistence of the challenge of data and information management at the national level, particularly the collection, validation and sharing of data and establishing a repository;

(c) Experiences and lessons learned in addressing the issue of data availability to varying degrees of success included recognizing the important role of the statistical agencies and engaging them actively, involving the national agencies responsible for planning and budgeting, and capacity-building of line ministries and agencies to facilitate their understanding of why the data are required;

(d) Effective communication and outreach explaining the linkages and benefits of the work on GHG inventories to national planning and development strategies helps to increase political commitment and support, and also facilitates the sharing and/or exchange of data from the relevant agencies and other stakeholders;

(e) The need to have a solid documentation and archiving system has been identified as an important element from the point of view of continuous reporting under the Convention, as well as the sustainability of the process at the national level;

(f) The ownership by data providers and the buy-in of the key stakeholders were also identified as factors that contribute substantially to the sustainable GHG inventory system in the countries;

(g) Quality control is an important aspect of preparing GHG inventories and ensuring good quality reporting; this should be encouraged at the national level and should be incorporated into the budget allocations during the project planning phase;

(h) The preparation of GHG inventories should not be viewed simply as project work required under the Convention, but rather, it should be recognized as a continuous process requiring ongoing improvements which establishes a foundation for climate policy planning and implementation.

C. Reporting on mitigation actions and their effects

17. The interactive discussions in these sessions resulted in the following observations:
- (a) The participants highlighted the similarities between the information reported on the intended nationally determined contributions and the mitigation actions reported in the BURs. Accordingly, participants viewed this as an area where there is significant opportunity for synergy and consultation between these two streams of work;
 - (b) When agencies develop mitigation actions, a measurement and evaluation component is rarely incorporated. Therefore, it is difficult to gather and report information in the BUR on the progress indicators, progress of implementation and the estimated outcomes/effects of mitigation actions;
 - (c) Most mitigation actions are projects planned and implemented in the context of sustainable development; although they are not designed with the primary purpose of GHG emission reductions, this outcome is a co-benefit;
 - (d) Participants noted the usefulness of the guidance provided by the training materials for reporting on mitigation actions. Regarding reporting on co-benefits, participants indicated that ascertaining the type of impacts to categorize as co-benefits has been a challenge;
 - (e) MRV is a critical aspect, and should be integrated from the outset in the project design stage, and accounted for as a part of the project budget;
 - (f) Although institutional arrangements exist in some countries to facilitate biennial reporting of information on domestic MRV as well as mitigation actions, participants highlighted the need for further support and work to enhance existing and/or set up new arrangements. This includes a clear definition of roles and responsibilities, guidance on improving institutional arrangements to ensure their sustainability over time, and provision of information needed to monitor implementation. They also highlighted the importance of improving capacities to analyse information and evaluate progress as part of a continuous improvement cycle, the costs associated with such a system to track these actions and plan their maintenance, as well as the question of who will be in charge of administration;
 - (g) The participants saw value in including information on climate policies in the BUR as they provide strategic direction and overall context for the climate actions, including mitigation;
 - (h) Participants discussed the challenges encountered in gathering the information necessary to report in their BURs on the progress of implementation of mitigation actions and the results achieved. As a means of overcoming these challenges, they requested the CGE to provide further guidance on the application of the reporting provisions contained in the BUR guidelines. Further, they reiterated the importance of a robust and flexible MRV system for mitigation actions to facilitate continuous data collection and update of progress indicators;
 - (i) Participants noted the diversity of mitigation actions that can be reported in a BUR. However, they highlighted the challenge in identifying and ascertaining which are the mitigation actions and relevant information to be reported.

D. Reporting on constraints and gaps, and related finance, technology and capacity-building needs and support received

18. The interactive discussions in these sessions resulted in the following observations:

(a) Several questions were raised regarding how to report/categorize project expenditures and the level of detail required or appropriate. Some participants indicated that there is a lack of clear definition on how to classify data. Participants also discussed how the reporting templates,⁸ prepared as guidance by the CGE, could be adapted, for example by merging “multilateral sources” and “multilateral financial institutions”. The need to report in a way that is relevant to the country’s national circumstances and is useful in the domestic planning and reporting context was also mentioned as critical;

(b) Accessing data on climate-related projects can be challenging for the agencies leading the preparation of BURs as a result of the lack of access to detailed project documents, especially in cases where there is a direct disbursement of funds to the project implementing entities;

(c) The participants noted the usefulness of the training materials and the template prepared by the CGE for reporting on support received. However, the functionality of the template can be improved by indicating whether the support received was for adaptation, mitigation, or both of these activities;

(d) Some participants suggested that it would be useful to have guidance on approaches to reporting on concessional grants or loans. Related to this, some highlighted challenges in reporting such information, particularly in deciding on when to report – whether the information is to be reported, when funds are approved by the source, or when they are disbursed;

(e) Some participants highlighted the challenge of reporting on the operational costs for the implementing agencies, in view of the fact that these funds are not delivered to the country but rather directly to the implementing agencies;

(f) While noting the usefulness of the approaches to documenting information on financial support needed and received, participants recognized an opportunity to further enhance the reporting template by ensuring that the climate component is clearly distinguished from the total financial support received. The template should also be able to accommodate information on national contributions, both in kind and cash;

(g) Reporting on the gaps and actual challenges experienced for the required elements of the BUR and how these challenges and barriers could be overcome was considered a critical factor in the reporting process;

(h) The relevant reporting provisions for the BUR brings to the fore the need to gather data and information to facilitate effective reporting of technical information. This requires enhancing the capacity of experts to report effectively, but also to generate the technical information to be reported. This factor should therefore be taken into consideration when allocating support to countries to prepare their BURs.

IV. Conclusions

19. The participants of the regional training workshops engaged in active discussion during the plenary and break-out group sessions throughout the workshops. This can be attributed to the good balance in the design of the workshop between presentations,

⁸ Templates proposed by the CGE for reporting on financial needs and support received.

interactive question and answer sessions and the mock exercises. The distribution of the training materials in advance of the workshop also allowed participants to prepare in advance, which enabled their active participation. The following are the key observations from participants on the training workshop and the training materials:

(a) From the regional training workshop on the preparation of BURs for the Africa region:

(i) The design of the workshop should be adjusted further to include more examples and allocate additional time for hands-on mock exercises and group discussion;

(ii) The training materials and mock exercises were appreciated, as they facilitated in-depth discussion and first-hand experience in the application of the reporting provisions contained in the UNFCCC reporting guidelines on BURs;

(iii) Reporting on support received for capacity-building should include participation in workshops and seminars, organized both internationally and domestically with international support;

(b) From the regional training workshop on the preparation of BURs for the Asia-Pacific and Eastern Europe regions:

(i) Participants expressed their appreciation for the way the workshop was structured, which encouraged active discussion and the sharing of experiences and views;

(ii) The structure of the workshop could be further revised to provide additional time for presenting and discussing areas related to GHG inventories and mitigation actions;

(iii) The workshop could also include additional guidance on how to identify capacity gaps of institutions and agencies;

(c) From the regional training workshop on the preparation of BURs for the Latin American and the Caribbean region:

(i) Participants recognized that BURs are useful tools to identify and present the country's needs to solicit regional and international support. More importantly, at the national level, the BUR can also serve as an important tool for national policymaking and planning. The ability to make effective use of BURs along these lines will increase the likelihood of obtaining the political support necessary to prepare the BURs, including the allocation of human resources from the relevant government institutions;

(ii) Countries in the region are in different stages of preparing their BURs. Recognizing that some of these countries have completed the full cycle of the ICA process, including the technical analysis of BURs and participation in the FSV workshop, the participants noted that the sharing of any case studies, best practices, experiences and lessons learned would be an asset for those in the initial stages of the ICA process. They also suggested creating a mechanism for networking, which they felt would contribute to enhancing the efficiency and effectiveness of the process and preparation of BURs;

(iii) While the training workshop at the regional level was appreciated and noted to be useful in enhancing the capacity of experts to prepare BURs, the participants indicated that such training at the subregional level within the Latin American and the Caribbean region would enable the CGE to provide more targeted technical support tailored to the needs of subregions.

20. Overall, the CGE believes that the workshops were successful and that they achieved the following:

(a) Enhancing the overall knowledge of the national experts on the elements to be reported in the BUR;

(b) Presenting each thematic area in a structured way, including practical examples and encouraging the active participation of national experts.

21. Through the workshop evaluation, participants confirmed the achievements of the CGE, as they unanimously agreed on the usefulness of the workshops. The participants identified the following elements as those that could further enhance the effectiveness of such workshops in future:

(a) Dedicating more time for presenting and discussing those elements with more content (e.g. GHG inventories and mitigation actions);

(b) Including more practical examples in the presentations and mock exercises;

(c) Focusing the discussion on the gaps and actual challenges for reporting the required elements and how these challenges and barriers could be overcome;

(d) Taking into account the different stages of participation of countries in the ICA process in composing break-out groups.

22. The CGE thanked those developed country Parties included in Annex II to the Convention and other developed country Parties that provided financial resources for the workshops. It also thanked the Governments of Saint Lucia, Sri Lanka and Togo for hosting the regional training workshops.

Annex I

Agenda for the regional training workshops on the preparation of biennial update reports from non-Annex I Parties

[English only]

Organized by the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention

DAY 1

Registration **8:00–9:00**

Session I: Opening and overview of the workshop **9:00–10:00**

- Welcome remarks
- Opening remarks by the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention (CGE)
- Opening remarks by the UNFCCC secretariat
- Self-introduction by participants
- Workshop objectives and agenda

- **Tea/coffee break** **10:00–10:30**

Session II: Overview of the measurement, reporting and verification (MRV) framework for developing countries under the Convention **10:30 –11:00**

- MRV for developing country Parties: context and guidelines for biennial update report, and international process and outcome of international consultation and analysis
- Overview of the transparency framework under the Paris Agreement
- Questions and answers (Q&A)

Session III: Support for the preparation of biennial update reports (BURs) **11:00–12:30**

- Technical support for the preparation of BURs
- Supporting countries on the ground
- Q&A

- **Lunch break and daily subsistence allowance payment** **12:30–14:00**

Session IV: Reporting on national circumstances and institutional arrangements for BURs **14:00–14:45**

- Reporting national circumstances and institutional arrangements: reporting provisions, approaches and examples
- Q&A

Session IV: Reporting on national circumstances and institutional arrangements for (cont.) BURs; reflecting on previous national communications experiences	14:45–15:45
--	--------------------

- Mock exercise and interactive break-out group discussion: detailed information on the exercise is contained in annex A.1 of the agenda
- Reports from the break-out groups to the plenary and interactive discussion (3–5 minutes per group)

Tea/coffee break	15:45–16:15
-------------------------	--------------------

Session V: Reporting on national greenhouse gas (GHG) inventories	16:15–17:30
--	--------------------

- Reporting on national GHG inventories: reporting provisions, approaches, tools and examples
- Q&A

DAY 2

Session V: Reporting on national GHG inventories (cont.)	9:00–10:30
---	-------------------

- Mock exercise and interactive break-out group discussion: detailed information on the exercise is contained in annex A.2 of the agenda

Coffee/tea break	10:30–11:00
-------------------------	--------------------

Session V: Reporting on national GHG inventories (cont.)	11:00–12:30
---	--------------------

- Mock exercise and interactive break-out group discussion: detailed information on the exercise is contained in annex A.2 of the agenda (cont.)
- Reports from the break-out groups to the plenary and interactive discussion

Lunch break	12:30–14:00
--------------------	--------------------

Session VI: Reporting on mitigation actions and their effects	14:00–15:30
--	--------------------

- Reporting mitigation actions and their effects in the BUR: reporting provisions, approaches and examples
- Reporting domestic MRV arrangements
- Q&A

Tea/coffee break

Session VI: Reporting on mitigation actions and their effects (cont.)	16:00–17:30
--	--------------------

- Mock exercise and interactive break-out group discussion: detailed information on the exercise is contained in annex A.3 of the agenda

DAY 3

Session VI: Reporting on mitigation actions and their effects (cont.)	09:00–10:30
--	--------------------

- Mock exercise and interactive break-out group discussion: detailed information on the exercise is contained in annex A.3 of the agenda (cont.)
- Reports from the break-out groups to the plenary and interactive discussion

Tea/coffee break	10:30–11:00
-------------------------	--------------------

Session VII: Reporting on constraints and gaps, and related finance, technology and capacity-building needs and support received	11:00–12:30
<ul style="list-style-type: none">- Reporting on constraints and gaps, and related finance, technology and capacity-building needs and support received: reporting provisions, approaches and examples- Q&A	
Lunch break	12:30–14:00
Session VII: Reporting on constraints and gaps, and related finance, technology (cont.) and capacity-building needs and support received	14:00–15:30
<ul style="list-style-type: none">- Mock exercise and interactive break-out group discussion: detailed information on the exercise is contained in annex A.4 of the agenda	
Tea/coffee break	15:30–16:00
Session VII: Reporting on constraints and gaps, and related finance, technology (cont.) and capacity-building needs and support received	16:00–17:30
<ul style="list-style-type: none">- Mock exercise and interactive break-out group discussion: detailed information on the exercise is contained in annex A.4 of the agenda (cont.)- Reports from the break-out groups to the plenary and interactive discussion	
Reflection – preparation and submission of BURs	17:30–18:00
Closing	18:00

Annex II

Mock exercises for the regional training workshops on the preparation of biennial update reports from non-Annex I Parties¹

[English only]

DESIGN AND STRUCTURE OF THE INTERACTIVE MOCK EXERCISES

Note to the participants

The case studies and exercises outlined here are solely for the purpose of academic exercise. Hence, it should not be used for any other purpose apart from those defined in the outline of each interactive mock exercise.

This annex contains 4 mock exercises which are intended to provide hands-on feel and experience to the participants in preparing information to be reported in BURs as per reporting provisions contained in annex III of decision 2/CP.17:

- Annex A.1: Reporting national circumstances and institutional arrangements;
- Annex A.2: Reporting national GHG inventories;
- Annex A.3: Reporting mitigation actions and their effects;
- Annex A.4: Reporting constraints and gaps, and related financial, technical and capacity-building needs, and support received.

¹ Reproduced as distributed at the workshops.

Mock exercise for Session IV: Reporting on national circumstances and institutional arrangements for BURs

1. Data and information available

For the purpose of this exercise, participants are provided an extract of the chapter on national circumstances and institutional arrangements from Ghana's first BUR, see *Ghana national circumstances and IA.pdf*.

2. Mock exercise

This exercise will be undertaken in two steps: an individual assessment of the information contained in document referred to above followed by a group brainstorming.

Using the approach outlined in the presentation as a guide, each participant will study the document individually to:

1. Access how the information reported by Ghana relates, by theme (and not substance), to your national context? In other words, would the type of information included by Ghana in its BUR be relevant to your national context? If so, what are those?
2. In the context of your national circumstances, do you foresee need to include additional or different theme? If so, what are they?

Once this assessment has been completed, participants will brainstorm, in smaller groups, to identify what are the common themes that the participants perceive to be of relevance for inclusion in BURs.

This assessment and discussion should cover both national circumstances and institutional arrangements.

The groups will be asked to report back to the plenary.

3. Points for reflection

- Does the information to be included under this section have any link to other sections of BURs, such as national GHG inventories, mitigation action and support? In other words, does it provide sufficient context for the information to be included in the subsequent chapters?
- What are some of the essential elements necessary for setting up and maintaining institutional arrangements that respond sufficiently to the needs arising from producing BURs and keeping up with the ICA process?
- What are some of the key factors and features of the national circumstance that facilitate the efficient functioning of institutional arrangements in the country, for example, political support, awareness among senior policy and decision makers, support from external entities, etc.?
- What are the key challenges in setting up and maintaining sustainable institutional arrangements functioning on a continuous basis?
- Is the current institutional arrangement in place to deal with National Communication preparation in your country adequate to cope with the challenges of producing BURs every two years?
- Is there clear understanding among institutions involved, of their roles in the institutional arrangements of the country for the preparation of the BURs in responding to the requirements of the ICA process? (e.g. who will be responsible for providing feedback during the three months period that the Party will have to review and comment on the draft summary report prepared by the team of technical experts? Who will be responsible to provide answers to the Parties questions during the facilitative sharing of views? Who will be responsible to treat the comments and questions received during the ICA process during the preparation of the following BURs?)

Mock exercise for Session V: Reporting on national GHG inventories

1. Data and information available

For the purpose of this exercise, the participants are provided with national GHG inventory of the Republic of Dummyland (using hypothetical data). The Republic of Dummyland is a small land-locked country with low level of industrialization. Apart from the transport sector, it has limited dependence on fossil fuel.

As a Party to the Climate Change Convention, it submitted its second national communication in 2010 which contained national GHG inventory for 2000 and 2005. Further, it made a decision to submit its first BUR in 2016. As a result, it prepared GHG inventory covering the following years: 2000, 2005, 2010, 2012 and 2013. The UNFCCC excel-based software was used as the tool to develop their GHG inventory.

2. Mock exercise

The participants, in smaller break-out groups are expected to study the data provided and prepare information on national GHG inventory to be included in its BUR to be submitted in 2016. The information should be, at a minimum, consistent with the following reporting provisions:

- a. List the methodologies used;
- b. Each non-Annex I Party shall, as appropriate and to the extent possible, provide in its national inventory, on a gas-by-gas basis and in units of mass, estimates of anthropogenic emissions of carbon dioxide (CO₂), methane (CH₄) and nitrous oxide (N₂O) by sources and removals by sinks *{Paragraph 14 of annex to decision 18/CP.7/paragraph 3 of annex III of decision 2/CP.17}*;
- c. Non-Annex I Parties are encouraged, as appropriate, to provide information on anthropogenic emissions by sources of hydrofluorocarbons (HFCs), perfluorocarbons (PFCs) and sulphur hexafluoride (SF₆) *{Paragraph 15 of annex to decision 18/CP.7/paragraph 3 of annex III of decision 2/CP.17}*;
- d. Non-Annex I Parties are encouraged, as appropriate, to report on anthropogenic emission by sources of other greenhouse gases such as carbon monoxide (CO), nitrogen oxides (NO_x) and non-methane volatile organic compounds (NMVOCs) *{Paragraph 17 of annex to decision 18/CP.7/paragraph 3 of annex III of decision 2/CP.17}*;
- e. Non-Annex I Parties are encouraged, to the extent possible, and if disaggregated data are available, to estimate and report CO₂ fuel combustion emissions using both the sectoral and the reference approaches, and to explain any large differences between the two approaches *{Paragraph 18 of annex to decision 18/CP.7/paragraph 3 of annex III of decision 2/CP.17}*;
- f. Non-Annex I Parties should, to the extent possible, and if disaggregated data are available, to report emissions from international aviation and marine bunker fuels separately in their inventories. Emission estimates from these sources should not be included in the national totals *{Paragraph 19 of annex to decision 18/CP.7/paragraph 3 of annex III of decision 2/CP.17}*;
- g. Each non-Annex I Party is encouraged to use tables 1 and 2 of these guidelines in reporting its national GHG inventory, taking into account the provisions established in paragraphs 14 to 17 above. In preparing those tables, Parties should strive to present information which is as complete as possible. Where numerical data are not provided, Parties should use the notation keys as indicated *{Paragraph 19 of annex to decision 18/CP.7/paragraphs 3 and 9 of annex III of decision 2/CP.17}*.
- h. Each non-Annex I Party is encouraged to provide a consistent time series back to the years reported in the previous national communications *{Paragraph 7 of annex III of decision 2/CP.17}*;
- i. Non-Annex I Parties which have previously reported on their national GHG inventories contained in their national communications are encouraged to submit summary information tables of inventories for previous submission years (e.g. for 1994 and 2000) *{Paragraph 8 of annex III of decision 2/CP.17}*.

3. Points for reflection

- a. As per the guidelines for the preparation of BURs, the scope of BUR includes providing update on national GHG inventory, including a national inventory report. Is the current institutional arrangement in place to deal with the preparation of national GHG inventory in your country, and adequately cope with the challenges of producing updates every two years?

- b. What are some of the key considerations that Parties need to take into account in their endeavour to produce national GHG inventories and an update of the data every two year?
- c. What are the specific challenges your Party may face to fulfil the following requirements present in decision 2/CP.17 and BUR Guidelines:
 - i. The first biennial update report submitted by non-Annex I Parties shall cover, at a minimum, the inventory for the calendar year no more than four years prior to the date of the submission, or more recent years if information is available, and that subsequent biennial update reports shall cover a calendar year that does not precede the submission date by more than four years;
 - ii. Any change to the emission factor may be made in the subsequent full national communication;
 - iii. Each non-Annex I Party is encouraged to provide a consistent time series back to the years reported in the previous national communications;
- d. Are there any additional challenges in developing and reporting national GHG inventories using the guidelines for the preparation of BURs? If so, what are they and how would one possibly address them?

**Mock exercise for Session VI:
Reporting on mitigation actions and their effects**

1. Data and information available *(adapted from BUR of Ghana)*

A country has formulated and started implementation an energy efficiency mitigation action entitled “Promoting appliance energy and transformation of refrigeration appliance market” from 2011 to 2014. It was implemented at the national level and primarily addressed emissions of CO₂ and CFC (R12). Following entities were involved in the implementation of this action:

- Energy Commission;
- Retail Outlets such as Cool World Electrical Retail Stores, Rowi Limited;
- Testing Centre such as National Standard Authority;
- Recycling Centres such as used fridges dismantling centres (City Waste Management Company)
- UNDP/GEF
- Eco-bank Ghana Limited

The primary objective of the action was to improve the energy efficiency of appliances marketed and used in Ghana through the introduction of a combination of regulatory tools such as Minimum Energy Performance Standards and Information Labels (S&L), and innovative economic tool (rebate scheme). The innovative economic tool (rebate scheme) targeted to replace 15,000 old and inefficient refrigerators with energy efficient ones by year 3 of the implementation period.

In order to realize the goal of the action, the following activities were planned and implemented:

- Strengthen structures and mechanisms for implementation of appliance energy efficiency standards and labels (S&L)
- Increase consumers and retailer’s awareness and improved marketing of appliance energy efficiency standards and labels.
- Establish refrigerating appliance test facilities.
- Establish used appliance and ODS collection and disposal facilities
- Conduct of refrigeration appliance rebate and exchange program throughout the country that distribute at least 15,000 efficient appliances

The performance over the entire implementation period was monitored on the basis of the following parameters:

- Number new fridges sold at retail centres under rebate scheme;
- Quantity of ODS recovered;
- Total amount of rebate payment;
- Number of inefficient fridge collected (no) at recycling centres;
- Household energy demand/consumption before/after (KWh) ,
- Import of new fridges versus used ones (quantity of imports).

Using the methodologies from the WRI GHG Protocol, effects of the mitigation action both in terms of GHG and non-GHG benefits were assessed. In doing so, the following assumptions were used:

- a. Average energy consumption of an old and inefficient refrigerator is 1,140KWh/yr;
- b. Each target household has one refrigerator which will be replaced by an energy efficient one;
- c. When old refrigerators are turned in, the new ones would be put in to use immediately by the affected households;
- d. The new refrigerators will have HFC refrigerants, however it is only during decommissioning stage that the refrigerant will be salvaged and hence, the project emission scenario for HFC is assumed to be zero;
- e. The load shedding exercise can vary the projected impacts of the project on targeted households since electricity consumption hours might reduce;
- f. After the project lifespan, the average of 1000 refrigerators would be purchased each year for the next 10years amounting to 10,000 in the tenth year in the capitalization period;

- g. Coal fired plants are anticipated in the country after 2020, and hence with the recurrent trend of investment in the electricity generation capacity, grid emission factor for a period up to 2025 is assumed to be 0.61 tCO₂/MWh;
- h. By the 10th year, the ban on the importation and sales of used refrigerators would be fully enforced;
- i. By the 10th year households will be more informed on standards and labels of refrigerators;
- j. The baseline scenario is assumed to be the continuation of historical HH energy electricity trends for refrigeration, dependent on projected changes in household income/size, current rates of increases in grid connected electrification, current of rate of household with fridges and the absent the project. In addition, there are large estimate 2,000,000 refrigeration appliances with poor energy efficiency and ozone depleting substances as at 2011;
- k. Under the intervention scenario, electricity use for efficient equipment is estimated to be 500 KWh/year based on the assumption that 55,000 electrified HH will replace their old fridge as a result of the project and to reduce household electricity use for refrigeration 43.9 per cent. The project scenario emission factor was assumed to be the same as in the baseline scenario (0.48 tCO₂e/MWh), since the project does not affect the emissions intensity of electricity generation.

In the period up to 2015, the mitigation action is estimated to lead to avoid emissions of 58.12 ktCO₂e. In addition, it is also going to contribute towards:

- Reduction in annual household electricity demands and expenditure;
- Creating of employment opportunities in establishing recycling and retailing centres, and assembling plants;
- Technology transfer (refrigerator test facility, Dismantling facility, and efficient refrigerators)
- Transformation of refrigeration market to an eco-friendly one through appliance labelling and ban of import of used appliances);
- E-waste management, for example, through recovery of ferrous and plastic materials;
- Phasing out of CFC;
- Health benefits.

The cost of the migration action amounted to about USD 6.1 million of which USD 4.4 million was funded by the government and the remaining with financial assistance from the GEF.

2. Mock exercise

The storyline above was developed on the basis of information contained in BUR from Ghana for ILLUSTRATION AND EDUCATIONAL PURPOSE only, and hence should not be used for any other purpose besides for this exercise. The information provided in the BUR should be considered as the authoritative source.

The participants, in smaller break-out groups, are expected to study the information provided in Section 1 above. Each group will also study the tabular format below and assess if it meets the requirements defined by the reporting provisions contained in paragraphs 11-13 of annex III of decision 2/CP.17. If deemed necessary, the groups may adjust the format of the table to suit the requirements. Once the template is assessed and improved, as necessary, the group shall fill in the relevant parts of the table. Each group shall maintain a list of elements which in their view are not present in the storyline above but defined in the reporting provisions referred to above.

Name of the action	Coverage	Quantitative goals / Objectives	Progress indicators	Methodologies / Assumptions	Steps taken/ envisaged	Outcomes achieved	Estimated emission reductions
Name and description of the mitigation action	Sectors and gases	Objectives of the action	Metrics depend on the nature of the action, but should be linked to performance	Key assumptions and methods used to estimate the changes in emissions and other outcomes of mitigation actions	Steps taken or envisaged to achieve the action	Estimated results achieved based on established progress metrics	GHG reduction achieved and/or envisaged
Example 1: Decrease GHG emissions by X% by 2050 below 2005 levels	Reduction of GHG emissions (CO ₂ , CH ₄ , HFCs,) and enhancement of sinks, to be achieved through a combination of measures in the energy, transport, forestry, agriculture and industrial processes sectors	A set of policies and measures targeting each sector (list key target policies)	Institutional arrangements to implement mitigation Number of policies adopted and implemented for each sector Behavioural changes induced/ investment mobilized Emission reductions achieved	Key assumptions and methodologies, the same as those used for the mitigation assessment	Summary of the steps envisaged at the national level and in each sector	Progress achieved to date as per the indicators established (i.e. renewable energy policy adopted; energy efficiency standards implemented for new housing, etc.)	Estimated emission reductions achieved to date
Example 2: Increase renewable energy capacity (policy/ programme level)	CO ₂ reduction through increased share of renewable energy in the energy balance	Increase the share of solar energy to 15% of total energy generation	Actions to improve investment in the environment; share of renewable energy	Grid emissions factor; assumptions on energy demand	1. National renewable energy programme adopted 2. Feed-in-tariff introduced 3. Training for five commercial banks carried out	Two local banks introduced lending programmes for solar projects The share of renewable energy has risen to 10% of total energy generation	X Mt CO ₂ have been reduced Overall emission reduction of Y Mt CO ₂ is expected once the action is fully implemented

Name of the action	Coverage	Quantitative goals / Objectives	Progress indicators	Methodologies / Assumptions	Steps taken/ envisaged	Outcomes achieved	Estimated emission reductions
Example 3: Light bulb initiative (project-level)	CO ₂ emission reduction through decrease in residential electricity consumption	Reduce residential electricity demand through replacement of conventional bulbs with energy efficient bulbs. Replace 1 million bulbs in the period 2012–2020	Number of bulbs replaced	Details on emission factors, demographic and macroeconomic indicators and other key assumptions used in developing the emission scenarios	1. Project implementation on office and monitoring arrangements established 2. Public education programme launched in 2012 3. In 2012–2013 200 thousand bulbs replaced	Impact on behavioural changes of population via education Projected financial savings to households through reduced electricity consumption Reduction in GHG emissions and conventional pollutants	Measures already implemented will achieve X% of GHG emission reductions by 2020 below the baseline Remaining measures to be implemented will achieve further Y% reduction in GHG emissions below the baseline by 2020

(Note: The cell contents are provided as an example and hence should be replaced with relevant information from your case study)

3. Points for reflection

- Are there any challenges in identifying and reporting information on mitigation actions and their effects using the guidelines for the preparation of BURs? If so, what are they and how would one possibly address them?
- What are some of the challenges experienced in assessing the progress of implementation of mitigation actions and also their effects? How have these challenges been addressed?
- What preparations have been made or will be needed at the national level to enhance existing, or set up new, institutional arrangements to facilitate domestic measurement, reporting and verification as well as reporting information on mitigation actions every two years?
- Are the institutions involved in the monitoring of the mitigation actions the same as the ones involved in the GHG inventory preparation?

**Mock exercise for Session VII:
Reporting on constraints and gaps, and related finance, technology and capacity-building needs and support received**

1. Data and information available

For this exercise, participants will use two sources of data and information:

- a. The online funding database of the Global Environment Facility available at <https://www.thegef.org/gef/gef_projects_funding>;
- b. The project-level data on bilateral and multilateral climate-related development in 2014 from OECD DAC External Development Finance Statistics available at <<http://www.oecd.org/dac/stats/climate-change.htm>>. A copy of data, in Excel, is included as a part of the training material package, see *OECD DAC climate-support-2013-14.xlsx*.

2. Mock exercise

Participants, in smaller breakout groups, will visit these two websites and study the information available there. Each group will then select a country from the list for the exercise.

Once the group decides on a country, it shall undertake the following exercise:

- a. Extract any available relevant data from both the websites for the country;
- b. Analyse the extracted data and present them in a tabular format (an example is provided below);
- c. Conduct an assessment of what are the missing elements as compared to what the reporting provisions refined in annex III of decision 2/CP.17. For each of the missing elements, outline a few key steps that could be followed in order to gather, prepare and report them in a timely manner.

Reporting period:		Description of support, including USD (exchange rate)				
Type		Multilateral sources	Funding from Annex II and other developed country Parties	Party contribution	Multilateral financial institutions, including regional development banks	Other sources
Preparation of BUR	<i>Financial</i>					
	<i>Capacity-building</i>					
	<i>Technical support</i>					
	<i>Technology transfer</i>					
Climate change activities contained in the BUR	<i>Financial</i>					
	<i>Capacity-building</i>					
	<i>Technical support</i>					
	<i>Technology transfer</i>					

3. Points for reflect

- a. What are the key barriers/challenges/bottlenecks that may hinder the preparation and timely submission of BURs?
 - b. What are the key barriers/challenges/bottlenecks in compiling and reporting information on constraints and gaps, and related finance, technology and capacity-building needs and support received?
 - c. What are some of the possible approaches that could be used to identify and report, in a robust manner, constraints and gaps, and related financial, technical, capacity-building, and development and transfer of technology needs?
 - d. What are some of the key considerations that Parties need to take into account in their endeavour to compile and report, every two years, information on financial, technical, capacity-building, and development and transfer of technology support received for climate change activities as well as for the preparation of the BUR?
-