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CONFERENCE OF THE PARTIES

REPORT OF THE CONFERENCE OF THE PARTIES
ON ITS EIGHTH SESSION, HELD AT NEW DELHI
FROM 23 OCTOBER TO 1 NOVEMBER 2002

Addendum

PART TWO: ACTION TAKEN BY THE CONFERENCE OF THE PARTIES
AT ITS EIGHTH SESSION

CONTENTS

II. DECISIONS ADOPTED BY THE CONFERENCE OF THE PARTIES (continued)

<u>Decision</u>		<u>Page</u>
17/CP.8	Guidelines for the preparation of national communications from Parties not included in Annex I to the Convention.....	2
18/CP.8	Guidelines for the preparation of national communications by Parties included in Annex I to the Convention, part I: UNFCCC reporting guidelines on annual inventories.....	13
19/CP.8	UNFCCC guidelines for the technical review of greenhouse gas inventories from Parties included in Annex I to the Convention.....	15
20/CP.8	Revised uniform reporting format for activities implemented jointly under the pilot phase.....	16

GE.03-60859

Decision 17/CP.8

Guidelines for the preparation of national communications from Parties not included in Annex I to the Convention

The Conference of the Parties,

Recalling, in particular, Article 4, paragraphs 1, 3 and 7, Article 10, paragraph 2 (a), and Article 12, paragraphs 1, 5 and 7, of the Convention,

Recalling also its decisions on communications from Parties not included in Annex I to the Convention (non-Annex I Parties) and, in particular, its decisions 10/CP.2, 2/CP.4, 12/CP.4, 8/CP.5, 31/CP.7 and 32/CP.7,

Recalling further that, by its decision 8/CP.5, it had initiated a process of reviewing the guidelines for the preparation of national communications from non-Annex I Parties, with the aim of improving them,

Having in mind that, at its seventh session, it had decided¹ to continue the process of reviewing the guidelines for the preparation of national communications from non-Annex I Parties, with a view to adopting them at its eighth session,

Acknowledging that the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention has made important contributions to the revision of the guidelines for the preparation of national communications from non-Annex I Parties,

Recognizing the important role of the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention in facilitating technical advice and support for the preparation of second and, where appropriate, third national communications from non-Annex I Parties, pursuant to decision 3/CP.8,

1. Decides:

(a) That Parties not included in Annex I to the Convention (non-Annex I Parties) should use the guidelines contained in the annex to this decision for the preparation of second and, where appropriate, third national communications and, where appropriate, initial national communications, except where Parties have initiated the process of preparing second national communications and received funding under the expedited procedures or on an agreed full cost basis prior to the approval of the guidelines annexed to this decision;

(b) That, in using these guidelines, non-Annex I Parties should take into account their development priorities, objectives and national circumstances;

(c) That these guidelines should be used to provide guidance to an operating entity of the financial mechanism for funding the preparation of national communications from non-Annex I Parties;

(d) That the guidelines contained in the annex to this decision, together with the guidance to an operating entity of the financial mechanism provided in decision 6/CP.8, should be used for the

¹ Decision 32/CP.7.

preparation of second and, where appropriate, third national communications and, where appropriate, initial national communications;

(e) That Parties that have submitted their second national communication and started their third national communication before the thirteenth session of the Conference of the Parties, may do so using the guidelines annexed to this decision;

(f) That the frequency of submission of second and, where appropriate, third national communications by non-Annex I Parties shall be determined by the Conference of the Parties, at its ninth session, taking into account the principle of differentiated timetables set by the Convention;

2. *Invites* non-Annex I Parties that may wish to do so, to use elements from the guidelines for the preparation of national communications from Parties included in Annex I to the Convention, when preparing their national communications;

3. *Requests* the secretariat to facilitate assistance to non-Annex I Parties in the preparation of their national communications, in accordance with Article 8, paragraph 2 (c), of the Convention, and to prepare reports thereon for consideration by the Subsidiary Body for Implementation.

*8th plenary meeting
1 November 2002*

ANNEX

Guidelines for the preparation of national communications from Parties not included in Annex I to the Convention

I. INTRODUCTION

A. Objectives

1. The principal objectives of the guidelines for the preparation of national communications from Parties not included in Annex I to the Convention (non-Annex I Parties) shall be:

(a) To assist non-Annex I Parties in meeting their reporting requirements under the Convention;

(b) To encourage the presentation of information in a consistent, transparent and comparable, as well as flexible, manner, taking into account specific national circumstances;

(c) To facilitate the presentation of information on support required for the preparation and improvement of national communications from non-Annex I Parties;

(d) To serve as policy guidance to the operating entity of the financial mechanism for the timely provision of financial support needed by developing country Parties in order to meet the agreed full costs of complying with their obligations under Article 12, paragraph 1, as referred to in decisions 11/CP.2, 2/CP.4, 2/CP.7 and 6/CP.7;

(e) To ensure that the Conference of the Parties (COP) has sufficient information to carry out its responsibility for assessing the implementation of the Convention by Parties.

B. Scope

2. As stated in Article 12, paragraph 1, of the Convention, the national communication shall include the following information:

(f) A national inventory of anthropogenic emissions by sources and removal by sinks of all greenhouse gases not controlled by the Montreal Protocol, to the extent its capacities permit, using comparable methodologies to be promoted and agreed upon by the Conference of the Parties;

(g) A general description of steps taken or envisaged by the non-Annex I Party to implement the Convention;

(h) Any other information that the non-Annex I Party considers relevant to the achievement of the objective of the Convention and suitable for inclusion in its communication, including, if feasible, material relevant for calculations of global emission trends.

II. NATIONAL CIRCUMSTANCES

3. Non-Annex I Parties should provide a description of their national and regional development priorities, objectives and circumstances, on the basis of which they will address climate change and its adverse impacts. This description may include information on features of their geography, climate and economy which may affect their ability to deal with mitigating and adapting to climate change, as well as information regarding their specific needs and concerns arising from the adverse effects of climate change and/or the impact of the implementation of response measures, as contained in Article 4, paragraph 8, and, as appropriate, in Article 4, paragraphs 9 and 10, of the Convention.

4. Non-Annex I Parties are encouraged to provide a summary of relevant information regarding their national circumstances, as appropriate, in tabular form.

5. Non-Annex I Parties may provide a description of existing institutional arrangements relevant to the preparation of their national communications on a continuous basis.

III. NATIONAL GREENHOUSE GAS INVENTORY

6. Each non-Annex I Party shall, in accordance with Article 4, paragraph 1 (a), and Article 12, paragraph 1(a) of the Convention, communicate to the Conference of the Parties a national inventory of anthropogenic emissions by sources and removals by sinks of all greenhouse gases (GHGs) not controlled by the Montreal Protocol, to the extent its capacities permit, following the provisions in these guidelines.

7. Non-Annex I Parties shall estimate national GHG inventories for the year 1994 for the initial national communication or alternatively may provide data for the year 1990. For the second national communication, non-Annex I Parties shall estimate national GHG inventories for the year 2000. The least developed country Parties could estimate their national GHG inventories for years at their discretion.

A. Methodologies

8. Non-Annex I Parties should use the Revised 1996 Intergovernmental Panel on Climate Change (IPCC) Guidelines for National Greenhouse Gas Inventories, hereinafter referred to as the IPCC Guidelines, for estimating and reporting their national GHG inventories.

9. In accordance with the IPCC Guidelines, Parties may use different methods (tiers) included in the Guidelines, giving priority to those methods which are believed to produce the most accurate estimates, depending on national circumstances and the availability of data. As encouraged by the IPCC Guidelines, Parties can also use national methodologies where they consider these to be better able to reflect their national situation, provided that these methodologies are consistent, transparent and well documented.

10. The IPCC Guidelines offer a default methodology which includes default emission factors and in some cases default activity data. As these default factors, data and assumptions may not always be appropriate for specific national circumstances, non-Annex I Parties are encouraged to use their country-specific and regional emission factors and activity data for key sources or, where these do not exist, to propose plans to develop them in a scientifically sound and consistent manner, provided that they are more accurate than the default data and documented transparently. Non-Annex I Parties are encouraged to formulate cost-effective national or regional programmes aiming at the development or improvement of country-specific or regional emissions factors and activity data.

11. Non-Annex I Parties are encouraged to apply the IPCC Good Practice Guidance and Uncertainty Management in National Greenhouse Gas Inventories (hereinafter referred to as the IPCC good practice guidance), taking into account the need to improve transparency, consistency, comparability, completeness and accuracy in inventories.

12. Non-Annex I Parties are also encouraged, to the extent possible, to undertake any key source analysis as indicated in the IPCC good practice guidance to assist in developing inventories that better reflect their national circumstances.

B. Reporting

13. Non-Annex I Parties are encouraged to describe procedures and arrangements undertaken to collect and archive data for the preparation of national GHG inventories, as well as efforts to make this a continuous process, including information on the role of the institutions involved.

14. 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.

15. 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).

16. 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).
17. Other gases not controlled by the Montreal Protocol, such as sulphur oxides (SO_x), included in the IPCC Guidelines, may be included at the discretion of the Parties.
18. 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.
19. 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.
20. Non-Annex I Parties wishing to report on aggregated GHG emissions and removals expressed in CO₂ equivalents should use the global warming potentials (GWP) provided by the IPCC in its Second Assessment Report ("1995 IPCC GWP Values") based on the effects of GHGs over a 100-year time horizon.
21. Non-Annex I Parties are encouraged to provide information on methodologies used in the estimation of anthropogenic emissions by sources and removals by sinks of greenhouse gases not controlled by the Montreal Protocol, including a brief explanation of the sources of emission factors and activity data. If non-Annex I Parties estimate anthropogenic emissions and removals from country-specific sources and/or sinks which are not part of the IPCC Guidelines, they should explicitly describe the source and/or sink categories, methodologies, emission factors and activity data used in their estimation of emissions, as appropriate. Parties are encouraged to identify areas where data may be further improved in future communications through capacity-building.
22. 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.
23. Non-Annex I Parties are encouraged to include in their national communications the inventory sectoral tables and worksheets¹ of the IPCC, in both electronic and hard copy format.
24. Non-Annex I Parties are encouraged to provide information on the level of uncertainty associated with inventory data and their underlying assumptions, and to describe the methodologies used, if any, for estimating these uncertainties.

¹ The IPCC software (see <http://www.ipcc-nggip.iges.or.jp/public/gl/software.htm>) provides for automated reporting in the worksheets and tables.

IV. GENERAL DESCRIPTION OF STEPS TAKEN OR ENVISAGED TO IMPLEMENT THE CONVENTION

25. Each non-Annex I Party shall, in accordance with Article 12, paragraph 1(b), communicate to the Conference of the Parties a general description of steps taken or envisaged by the Party to implement the Convention, taking into account its common but differentiated responsibilities and its specific national and regional development priorities, objectives and circumstances.

26. Non-Annex I Parties may provide information on programmes containing measures to mitigate climate change by addressing anthropogenic emission by sources and removals by sinks of all greenhouse gases not controlled by the Montreal Protocol, and measures to facilitate adequate adaptation to climate change, following the provisions in these guidelines.

27. Taking into account Article 4, paragraph 7, and, as appropriate, Article 4, paragraphs 3 and 5, of the Convention, the extent to which developing country Parties will effectively implement their commitment to communicate this information will depend on the effective implementation by developed country Parties of their commitments under the Convention relating to financial resources and transfer of technology.

A. Programmes containing measures to facilitate adequate adaptation to climate change

28. Each Party shall, in accordance with Article 12, paragraph 1 (b) and (c), of the Convention, provide to the COP information on the general descriptions of steps taken or envisaged towards formulating, implementing, publishing and regularly updating national and, where appropriate, regional programmes containing measures to facilitate adequate adaptation to climate change, and any other information they consider to be relevant to the achievement of the objective of the Convention and suitable for inclusion in their communications.

29. In doing so, non-Annex I Parties should provide information on their vulnerability to the adverse effects of climate change, and on adaptation measures being taken to meet their specific needs and concerns arising from these adverse effects.

1. Methodological approaches

30. Non-Annex I Parties may use appropriate methodologies and guidelines² they consider better able to reflect their national situation for assessing their vulnerability and adaptation to climate change, provided that these methodologies and guidelines are consistent, transparent and well documented.

31. Non-Annex I Parties are encouraged to use, for the evaluation of adaptation strategies and measures,³ appropriate methodologies they consider better able to reflect their national situation, provided that these methodologies are consistent, transparent and well documented.

² Such as the *IPCC Technical Guidelines for Assessing Climate Change Impacts and Adaptations* (Carter, T.R., M.L. Parry, H. Harasawa, S. Nishioka, 1994), the *UNEP Handbook on Methods for Climate Change Impact Assessment and Adaptation Strategies* (Feenstra, J.F., I. Burton, J.B. Smith, R.S.J. Tol, 1998), and the *International Handbook on Vulnerability and Adaptation Assessments* (Benioff, R., S. Guill, J. Lee, 1996).

³ Such as those contained in the *Compendium of Decision Tools to Evaluate Strategies for Adaptation to Climate Change* which is available from the UNFCCC web site, www.unfccc.int/issues/meth_tools.html

2. Reporting

32. Non-Annex I Parties are encouraged to provide information on the scope of their vulnerability and adaptation assessment, including identification of vulnerable areas that are most critical.

33. Non-Annex I Parties are encouraged to include a description of approaches, methodologies and tools used, including scenarios for the assessment of impacts of, and vulnerability and adaptation to, climate change, as well as any uncertainties inherent in these methodologies.

34. Non-Annex I Parties are encouraged to provide information on their vulnerability to the impacts of, and their adaptation to, climate change in key vulnerable areas. Information should include key findings, and direct and indirect effects arising from climate change, allowing for an integrated analysis of the country's vulnerability to climate change.

35. Non-Annex I Parties are encouraged to provide information on and, to the extent possible, an evaluation of, strategies and measures for adapting to climate change, in key areas, including those which are of the highest priority.

36. Where relevant, Parties may report on the use of policy frameworks, such as national adaptation programmes,⁴ plans and policies for developing and implementing adaptation strategies and measures.

B. Programmes containing measures to mitigate climate change

37. Each Party shall, in accordance with Article 12, paragraphs 1 (b) and (c), of the Convention, provide to the COP information on the general descriptions of steps taken or envisaged for formulating, implementing, publishing and regularly updating national and, where appropriate, regional programmes containing measures to mitigate climate change by addressing anthropogenic emissions by sources and removals by sinks of all GHGs not controlled by the Montreal Protocol, and any other information they consider to be relevant to the achievement of the objective of the Convention and suitable for inclusion in their communications.

1. Methodological approaches

38. Based on national circumstances, non-Annex I Parties are encouraged to use whatever methods are available and appropriate in order to formulate and prioritize programmes containing measures to mitigate climate change; this should be done within the framework of sustainable development objectives, which should include social, economic and environmental factors.

39. In their assessment of these programmes on various sectors of the economy, non-Annex I Parties may use the appropriate technical resources.⁵

2. Reporting

40. Based on national circumstances, non-Annex I Parties are encouraged to provide, to the extent their capacities allow, information on programmes and measures implemented or planned⁶ which contribute to mitigating climate change by addressing anthropogenic emissions by sources and removals by sinks of all GHGs not controlled by the Montreal Protocol, including, as appropriate, relevant information by key sectors on methodologies, scenarios, results, measures and institutional arrangements.

⁴ For example, national adaptation programmes of action (NAPAs) for least developed countries.

⁵ Such as *Technologies, Policies and Measures for Mitigating Climate Change* (IPCC Technical Paper I); *Greenhouse Gas Mitigation Assessment: A Guidebook by the U.S. Country Studies Program; Climate Change 2001: Mitigation* (Contribution of Working Group III to the Third Assessment Report of the IPCC)

⁶ Such as measures being considered by the government for future implementation.

V. OTHER INFORMATION CONSIDERED RELEVANT TO THE ACHIEVEMENT OF THE OBJECTIVE OF THE CONVENTION

41. With a view to facilitating the formulation and implementation of sustainable development programmes, non-Annex I Parties are encouraged, as appropriate, to provide information on any steps they have taken to integrate climate change considerations into relevant social, economic and environmental policies and actions in accordance with Article 4, paragraph 1 (f), of the Convention.

A. Transfer of technologies

42. Pursuant to decision 4/CP.7, its annex, and the implementation of Article 4, paragraph 5, of the Convention, non-Annex I Parties are encouraged, in the light of their social and economic conditions, to provide information on activities relating to the transfer of, and access to, environmentally sound technologies and know-how, the development and enhancement of endogenous capacities, technologies and know-how, and measures relating to enhancing the enabling environment for development and transfer of technologies.

B. Research and systematic observation

43. Non-Annex I Parties are encouraged to provide information on climate change research and systematic observation, including their participation in and contribution to activities and programmes, as appropriate, of national, regional and global research networks and observing systems.⁷

44. Non-Annex I Parties are encouraged to provide information on research relating to programmes containing measures to mitigate climate change; programmes containing measures to facilitate adequate adaptation to climate change; and the development of emission factors and activity data.

C. Education, training and public awareness

45. Non-Annex I Parties are invited to provide information on activities relating to climate change education, training and public awareness.

D. Capacity-building

46. Non-Annex I Parties are encouraged to provide, in accordance with decision 2/CP.7, information on how capacity-building activities, as contained in the framework annexed to that decision, are being implemented at national and, where appropriate, at subregional and/or regional levels. This could include, inter alia, options and priorities for capacity-building, participation in and promotion of South-South cooperation, the involvement of stakeholders in capacity-building, coordination and sustainability of capacity-building activities, and the dissemination and sharing of information on capacity-building activities.

47. Non-Annex I Parties are encouraged to include, as appropriate, information on national, subregional and/or regional capacity-building activities for integrating adaptation to climate change into medium and long-term planning.

E. Information and networking

48. Non-Annex I Parties are encouraged to provide information on their efforts to promote information sharing among and within countries and regions. Information could cover, as appropriate, participation in and contribution to networks, and access to, and use of, information technologies for information exchange.

⁷ Such as the Global Climate Observing System, Global Terrestrial Observing System and Global Ocean Observing System.

VI. CONSTRAINTS AND GAPS, AND RELATED FINANCIAL, TECHNICAL AND CAPACITY NEEDS

49. Non-Annex I Parties should, in accordance with national circumstances and development priorities, describe any constraints and gaps, and related financial, technical and capacity needs, as well as proposed and/or implemented activities for overcoming the gaps and constraints, associated with the implementation of activities, measures and programmes envisaged under the Convention, and with the preparation and improvement of national communications on a continuous basis.
50. Non-Annex I Parties should provide information on financial resources and technical support for the preparation of their national communications provided by themselves, as well as those received from the Global Environment Facility (GEF), Annex II Parties or bilateral and multilateral institutions.
51. Non-Annex I Parties should also provide information on financial resources and technical support provided by themselves and by the GEF, Annex II Parties or bilateral and multilateral institutions, for activities relating to climate change.
52. Non-Annex I Parties are encouraged to provide, to the extent their capacities permit, a list of projects proposed for financing, in accordance with Article 12, paragraph 4, of the Convention, in preparation for arranging the provision of technical and financial support.
53. Non-Annex I Parties may include information on opportunities for the implementation of adaptation measures, including pilot and/or demonstration adaptation projects, being undertaken or proposed. They may also provide information on barriers to the implementation of adaptation measures. They may include, as appropriate, information on how support programmes from Parties included in Annex II to the Convention are meeting their specific needs and concerns relating to vulnerability and adaptation to climate change.
54. With regard to the development and transfer of technology, non-Annex I Parties are encouraged to provide information on country-specific technology needs and assistance received from developed country Parties and the financial mechanism of the Convention and, as appropriate, on how they have utilized this assistance in support of the development and enhancement of endogenous capacities, technologies and know-how.
55. Non-Annex I Parties are encouraged to provide information on other relevant needs and/or areas for capacity-building other than those mentioned in paragraphs 45, 47, 48 and 50.

VII. SUBMISSION

56. The information provided in accordance with these guidelines shall be communicated by each non-Annex I Party to the COP in a single document, with an executive summary outlining the information contained in the full document, in both hard copy and electronic format.
57. Each non-Annex I Party shall submit its national communication in one of the official languages of the United Nations. The executive summary, which is to be of no more than 10 pages, shall be translated into English and made publicly available. Parties are also encouraged to submit, to the extent possible and where relevant, English translations of their communications.
58. Additional or supporting information may be supplied through other documents such as a technical annex.

Table 1. National greenhouse gas inventory of anthropogenic emissions by sources and removals by sinks of all greenhouse gases not controlled by the Montreal Protocol^a and greenhouse gas precursors

Greenhouse gas source and sink categories	CO ₂ emissions (Gg)	CO ₂ removals (Gg)	CH ₄ (Gg)	N ₂ O (Gg)	CO (Gg)	NO _x (Gg)	NMVOCs (Gg)	SO _x (Gg)
Total national emissions and removals	X	X	X	X	X	X	X	X
1. Energy	X	X	X	X	X	X	X	X
A. Fuel combustion (sectoral approach)	X		X	X	X	X	X	X
1. Energy industries	X		X	X	X	X	X	X
2. Manufacturing industries and construction	X		X	X	X	X	X	X
3. Transport	X		X	X	X	X	X	X
4. Other sectors	X		X	X	X	X	X	X
5. Other (please specify)	X		X	X	X	X	X	X
B. Fugitive emissions from fuels	X		X		X	X	X	X
1. Solid fuels			X		X	X	X	X
2. Oil and natural gas			X		X	X	X	X
2. Industrial processes	X	X	X	X	X	X	X	X
A. Mineral products	X				X	X	X	X
B. Chemical industry	X		X	X	X	X	X	X
C. Metal production	X		X	X	X	X	X	X
D. Other production	X				X	X	X	X
E. Production of halocarbons and sulphur hexafluoride								
F. Consumption of halocarbons and sulphur hexafluoride								
G. Other (please specify)	X		X	X	X	X	X	X
3. Solvent and other product use	X			X			X	
4. Agriculture			X	X	X	X	X	X
A. Enteric fermentation			X					
B. Manure management			X	X			X	
C. Rice cultivation			X				X	
D. Agricultural soils			X	X			X	
E. Prescribed burning of savannahs			X	X	X	X	X	
F. Field burning of agricultural residues			X	X	X	X	X	
G. Other (please specify)			X	X	X	X	X	
5. Land-use change and forestry	X ^b	X ^b	X	X	X	X	X	X
A. Changes in forest and other woody biomass stocks	X ^b	X ^b						
B. Forest and grassland conversion	X	X	X	X	X	X		
C. Abandonment of managed lands		X						
D. CO ₂ emissions and removals from soil	X ^b	X ^b						
E. Other (please specify)	X	X	X	X	X	X		
6. Waste			X	X	X	X	X	X
A. Solid waste disposal on land			X		X		X	
B. Waste-water handling			X	X	X	X	X	
C. Waste incineration					X	X	X	X
D. Other (please specify)			X	X	X	X	X	X
7. Other (please specify)	X	X	X	X	X	X	X	X
Memo items								
International bunkers	X		X	X	X	X	X	X
Aviation	X		X	X	X	X	X	X
Marine	X		X	X	X	X	X	X
CO₂ emissions from biomass	X							

Note: Shaded cells do not require entries.

^a The following standard indicators should be used, as appropriate, for emissions by sources and removals by sinks of GHGs: **NO** (not occurring) for activities or processes that do not occur for a particular gas or source/sink category within a country, **NE** (not estimated) for existing emissions and removals which have not been estimated, **NA** (not applicable) for activities in a given source/sink category which do not result in emissions or removals of a specific gas, **IE** (included elsewhere) for emissions and removals estimated but included elsewhere in the inventory (Parties should indicate where the emissions or removals have been included), **C** (confidential) for emissions and removals which could lead to the disclosure of confidential information.

^b Do not provide an estimate of both CO₂ emissions and CO₂ removals. "Net" emissions (emissions – removals) of CO₂ should be estimated and a single number placed in either the CO₂ emissions or CO₂ removals column, as appropriate. Note that for the purposes of reporting, the signs for removals are always (–) and for emissions (+).

Table 2. National greenhouse gas inventory of anthropogenic emissions of HFCs, PFCs and SF₆

Greenhouse gas source and sink categories	HFCs ^{a,b} (Gg)			PFCs ^{a,b} (Gg)			SF ₆ ^a (Gg)
	HFC-23	HFC-134	Other (to be added)	CF ₄	C ₂ F ₆	Other (to be added)	
Total national emissions and removals	X	X	X	X	X	X	X
1. Energy							
A. Fuel combustion (sectoral approach)							
1. Energy industries							
2. Manufacturing industries and construction							
3. Transport							
4. Other sectors							
5. Other (please specify)							
B. Fugitive emissions from fuels							
1. Solid fuels							
2. Oil and natural gas							
2. Industrial processes	X	X	X	X	X	X	X
A. Mineral products							
B. Chemical industry							
C. Metal production	X	X	X	X	X	X	X
D. Other production							
E. Production of halocarbons and sulphur hexafluoride	X	X	X	X	X	X	X
F. Consumption of halocarbons and sulphur hexafluoride	X	X	X	X	X	X	X
G. Other (please specify)							
3. Solvent and other product use							
4. Agriculture							
A. Enteric fermentation							
B. Manure management							
C. Rice cultivation							
D. Agricultural soils							
E. Prescribed burning of savannahs							
F. Field burning of agricultural residues							
G. Other (please specify)							
5. Land-use change and forestry							
A. Changes in forest and other woody biomass stocks							
B. Forest and grassland conversion							
C. Abandonment of managed lands							
D. CO ₂ emissions and removals from soil							
E. Other (please specify)							
6. Waste							
A. Solid waste disposal on land							
B. Waste-water handling							
C. Waste incineration							
D. Other (please specify)							
7. Other (please specify)	X	X	X	X	X	X	X
Memo items							
International bunkers							
Aviation							
Marine							
CO₂ emissions from biomass							

^a Parties may wish to express HFC, PFC and SF₆ emissions as either potential or actual. Potential emissions should be estimated using the tier 1 approach of the IPCC Guidelines. Actual emissions should be estimated using the tier 2 approach of the IPCC Guidelines.

^b Parties reporting HFCs and PFCs should provide emission estimates on a gas-by-gas basis, that is, disaggregated estimates by chemical expressed in units of mass (Gg), as indicated in the table (e.g. HFC-23), where information is available. This should be done by inserting a column for each HFC and PFC gas for which emissions do occur in the country; the gases in the column headings are given as examples only. Other gases to be reported in this table include HFC-32, HFC-41, HFC-43-10, HFC-125, HFC-134a, HFC-152a, HFC-43-10mee, HFC-143a, HFC-227ea, HFC-236fa, HFC-245ca, C₃F₈, C₄F₁₀, c-C₄F₈, C₅F₁₂, C₆F₁₄, and any other GHG with high global warming potential not covered in this list.

Decision 18/CP.8

Guidelines for the preparation of national communications by Parties included in Annex I to the Convention, part I: UNFCCC reporting guidelines on annual inventories

The Conference of the Parties,

Recalling the relevant provisions of the United Nations Framework Convention on Climate Change, in particular Articles 4, 10.2 and 12 thereof,

Further recalling its decisions 3/CP.1 on preparation and submission of national communications from Parties included in Annex I to the Convention, 4/CP.1 on methodological issues, 9/CP.2 on communications from Parties included in Annex I to the Convention: guidelines, schedule and process for consideration, 11/CP.4 on national communications from Parties included in Annex I to the Convention, and 3/CP.5 on guidelines for the preparation of national communications by Parties included in Annex I to the Convention, Part I: UNFCCC reporting guidelines on annual inventories,

Reaffirming that anthropogenic emissions by sources and removals by sinks of greenhouse gases not controlled by the Montreal Protocol should be reported in a transparent, consistent, comparable, complete and accurate way,

Noting that the guidelines for the preparation of national communications by Parties included in Annex I to the Convention, Part I: UNFCCC reporting guidelines on annual inventories, adopted by decision 3/CP.5, need to be revised to improve the transparency, consistency, comparability, completeness and accuracy of the reported national greenhouse gas inventories and other information,

Further noting the improvements Parties included in Annex I to the Convention have made in providing complete and timely annual greenhouse gas inventories,

Having considered the relevant recommendations of the Subsidiary Body for Scientific and Technological Advice,

1. *Adopts* the revised guidelines for the preparation of national communications by Parties included in Annex I to the Convention, Part I: UNFCCC reporting guidelines on annual inventories, contained in the annex to this decision;¹
2. *Decides* that Parties included in Annex I to the Convention should use these UNFCCC guidelines on annual inventories in preparing their inventories due by 15 April each year, beginning in the year 2004;
3. *Decides* that Parties included in Annex I to the Convention should use the UNFCCC reporting guidelines on annual inventories adopted by decision 3/CP.5 in preparing their inventories due by 15 April 2003;
4. *Requests* the secretariat, pending availability of resources, to develop, by October 2003, new software for reporting in the common reporting format included in the annex to these guidelines on annual inventories, in order to facilitate Parties' inventory submissions due by 15 April 2004;
5. *Requests* Parties included in Annex I to the Convention to publish on their national web sites their national inventory submissions consisting of the national inventory report and common reporting format, and to inform the secretariat of the exact address of these publications on the World Wide Web;

¹ To facilitate ease of use by Parties, the annex to this decision is contained in document FCCC/CP/2002/8.

6. *Requests* the secretariat to publish on its web site the officially submitted annual inventory submissions consisting of the national inventory report and common reporting format of all Parties included in Annex I to the Convention, and publish as well the address of Parties' web sites where these publications are located;

7. *Requests* the secretariat to prepare a report assessing experience in the implementation of these guidelines, taking into account, inter alia, the experience gained by Parties included in Annex I to the Convention in using the guidelines and by the secretariat in processing the information reported by Parties included in Annex I to the Convention, for consideration by the Subsidiary Body for Scientific and Technological Advice at its first session in the year 2006.

*7th plenary meeting
1 November 2002*

Decision 19/CP.8

UNFCCC guidelines for the technical review of greenhouse gas inventories from Parties included in Annex I to the Convention

The Conference of the Parties,

Recalling the relevant provisions of the United Nations Framework Convention on Climate Change, in particular Articles 4 and 7 thereof,

Further recalling its decision 6/CP.5 on guidelines for the technical review of greenhouse gas inventories from Parties included in Annex I to the Convention,

Noting that the guidelines for the technical review of greenhouse gas inventories from Parties included in Annex I to the Convention, adopted by decision 6/CP.5, need to be revised to improve the consistency in the review of annual inventories and to ensure that the review process allows for a thorough and comprehensive technical assessment of Annex I Parties' annual national inventories,

Having considered the relevant recommendations of the Subsidiary Body for Scientific and Technological Advice,

1. *Adopts* the revised guidelines for the technical review of greenhouse gas inventories from Parties included in Annex I to the Convention, contained in the annex to this decision;¹
2. *Decides* to apply the above-mentioned guidelines for the technical reviews of greenhouse gas inventories to begin in 2003, in accordance with decision 6/CP.5, taking into consideration that the reporting guidelines on annual inventories used by Parties included in Annex I to the Convention in 2003 will be those adopted by decision 3/CP.5;
3. *Requests* the secretariat to conduct individual reviews until the end of the year 2006, pending availability of resources, by coordinating specifically:
 - (a) The in-country review of eight inventories per year;
 - (b) The review of the remaining annually submitted inventories through centralized and desk reviews; in organizing these reviews, the secretariat should give priority to the centralized reviews and should ensure that desk reviews are conducted only within the two subsequent years following an in-country review;
4. *Requests* the secretariat to prepare a report assessing the implementation of these guidelines, taking into account, inter alia, the experience gained by Parties included in Annex I to the Convention, the secretariat and the review experts, for consideration by the Subsidiary Body for Scientific and Technological Advice at its first session in the year 2006.

*7th plenary meeting
1 November 2002*

¹ To facilitate ease of use by Parties, the annex to this decision is contained in document FCCC/CP/2002/8.

Decision 20/CP.8

**Revised uniform reporting format for
activities implemented jointly under the pilot phase**

The Conference of the Parties,

Recalling its decisions 5/CP.1, 10/CP.3, 13/CP.5 and 8/CP.7,

Having considered the conclusions of the Subsidiary Body for Scientific and Technological Advice at its sixteenth session,¹

Acknowledging that participating in activities implemented jointly under the pilot phase continues to provide an important opportunity for learning by doing,

1. Adopts the revised uniform reporting format for activities implemented jointly under the pilot phase contained in the annex to this decision;
2. Urges Parties involved in activities implemented jointly under the pilot phase to submit reports using the revised uniform reporting format on activities implemented jointly under the pilot phase.

*7th plenary meeting
1 November 2002*

¹ FCCC/SBSTA/2002/6, paragraphs 25–27.

ANNEX

**Activities implemented jointly under the pilot phase:
revised Uniform Reporting Format (URF 01)**

The contents provided using the revised uniform reporting format (URF 01) below are for information purposes only and the provisions of the URF should not be construed as adopting the underlying concepts.

The URF 01 is to be used for reporting on activities implemented jointly (AIJ) under the pilot phase (decision 20/CP.8). Activities implemented jointly under the pilot phase and reporting on it are subject to decisions 5/CP.1, 10/CP.3, 13/CP.5 and 8/CP.7 and any subsequent relevant decisions.

**CONTENTS
(major headings only)**

- A. Governmental acceptance, approval or endorsement
- B. Summary of AIJ project
 - B.1 Title of project
 - B.2 Participants
 - B.3 Activity summary
 - B.4 Determination of the baseline
- C. General compatibility with and supportiveness of national economic development and socio-economic and environment priorities and strategies
- D. Environmental, economic and social and cultural impacts
 - D.1 Environmental impact (positive and/or negative)
 - D.2 Economic impact (positive and/or negative)
 - D.3 Social and cultural impact (positive and/or negative)
- E. Calculation of real, measurable and long-term environmental benefits relating to the mitigation of climate change, that would not have occurred otherwise
 - E.1 Assumptions and characteristics of the baseline
 - E.2 Assumptions and characteristics of the project scenario
 - E.3 Revision of the baseline for the project
 - E.4 Scope and performance of the actual project
 - E.5 Tables on real, measurable and long-term GHG emission reductions or removals by sinks (in CO₂ equivalent)
 - E.6 Mutually agreed assessment procedures
 - E.7 Cost (to the extent possible)
- F. Financial additionality

- G. Contribution to capacity-building, transfer of environmentally sound technologies and know-how to other Parties, particularly developing country Parties, to enable them to implement the provisions of the Convention. In this process, the developed country Parties shall support the development and enhancement of endogenous capacities and technologies of developing country Parties
- G.1 Identification of environmentally sound technology and know-how
- G.2 Characteristics of environmentally sound technology
- G.3 Impact of the AIJ project on capacity-building and transfer of environmentally sound technology and know-how
- H. Additional comments

Annexes to the revised uniform reporting format

1. Participants' contact information
2. Project type descriptors
3. 1995 IPCC global warming potential (GWP) values based on the effects of greenhouse gases over a 100-year time horizon
4. Decision 20/CP.8 (decision adopting the revised URF and urging Parties to use this format)
5. Decision 5/CP.1

A. Governmental acceptance, approval or endorsement

Guidance for completing section A

A report (first, interim or final) shall be submitted to the secretariat by the designated national authority (DNA) of a participating Party with proof of concurrence, on official letterhead paper, of all other DNAs involved in the project. The AIJ project activity is then considered to be “mutually agreed”. The submitting Party may forward reports to the UNFCCC secretariat by electronic mail. The proof of concurrence shall be faxed by the submitting Party at the same time. All documents must also subsequently be made available to the UNFCCC secretariat in original form.

It is important that the host and/or investor Parties involved in this activity provide information on sections C, D and G, to the extent that information is available.

Each report shall be dated. If the report is an interim or final report, the sections which were modified or newly completed shall be identified under the third bullet (•).

- Date of this report:
- This report is a (*Please underline*):
 - First report
 - Interim report
 - Final report
- Please indicate here which sections were modified since the last report (*e.g. B.2, E.2.4, F.2*):

B. Summary of AIJ project

Guidance for completing section B

Section B should provide the reader with a brief description of the AIJ project activity. This information shall enable the reader to categorize the project before reading detailed information contained in the remaining sections. The title of the AIJ project activity shall be reported in subsection B.1.

The roles of the main participants shall be described in section B.2. Detailed contact information shall be provided in annex 1 to the URF 01 using the format contained therein and applying, for each contact, the descriptor system suggested in annex 2.

A general and brief description of the AIJ project activity shall be provided in subsection B.3.1, covering information such as the GHG impact and the type and scale of the technology deployed (e.g. installed capacity, throughput). The type (using a set of descriptors), the location, the stage and the lifetime of the AIJ project activity shall be identified in the remaining subsections of B.3. If the AIJ project activity has been suspended, a brief explanation and the date when it is scheduled to resume activity shall be provided. All dates in this report shall be provided in the format DD/MM/YYYY.

Information relating to the baseline determination and approach shall be provided in section B.4. The baseline methodology, described in detail in section E.1, shall be indicated in section B.4.3. Two

options are provided: (i) the use of a project-specific baseline which establishes the emissions and/or removals for a specific reference case that represents what would otherwise occur; emissions and/or removals by sinks resulting from a project would be compared to the project-specific baseline to calculate net reductions or removals resulting from the project;

(ii) the use of a multi-project baseline which establishes a performance standard (based on emissions and/or removals) for a sector or source category for a specific geographic area that represents what would otherwise occur; emissions and/or removals resulting from a project within the same sector or source category and same geographic area would be compared to the multi-project baseline to calculate net reductions or removals resulting from the project. The level of aggregation of multi-project baselines, if applicable, and the scope of the project boundary of the baseline described in detail in section E.1 shall be indicated in section B.4. The project boundary is defined as the space within which the project is implemented and its emissions or removals by sinks occur. Leakage due to the project, defined as the change in emissions or in removals by sinks outside the project boundary, shall be addressed.

B.1 Title of project**B.2 Participants**

Please describe briefly the role(s) of the main participating organization(s) and provide detailed contact information in annex 1:

B.3 Activity summary

B.3.1 General description

B.3.2 Type of activity

(Please use project type descriptors contained in annex 2)

B.3.3 Location (e.g. city, region, state):

B.3.4 Stage of activity *(Please underline the appropriate option):*

- Pre-feasibility study completed
- Feasibility study completed
- In start-up or construction phase
(e.g. ensuring financing, construction of site, purchase of land, installation of new equipment)
- In operation
(e.g. new windmill plant is connected, converted boiler reconnected, etc., and real, measurable and long-term GHG emission reductions or removals by sinks are generated)
- Completed
(AIJ project activity no longer generates GHG reductions or removals by sinks or has been terminated)
- Suspended
(Please indicate date when AIJ project activity is expected to resume, and give brief explanation of reasons for suspension (up to half a page)):

B.3.5 Lifetime of AIJ project activity

- Approval date:
*(Date at which the AIJ project activity was mutually approved by designated national authorities of **all** Parties involved)*
- Starting date:
(Date at which real, measurable and long-term GHG reductions or removals by sinks will begin or began to be generated)
- Ending date (expected):
(Date at which AIJ project activity is expected to no longer generate GHG reductions or removals by sinks)
- Ending date (actual):
(Date at which AIJ project no longer generated GHG reductions or removals by sinks or was terminated)
- Ending of the operational life of the project if different from the ending date of the AIJ project activity:
- Reasons for the choice of lifetime dates:
(Describe briefly (up to half a page))

B.4 Determination of the baseline

B.4.1 Date of completing the baseline determination:

B.4.2 Carried out by (name):
(Please provide detailed contact information in annex 1)

B.4.3 Type of baseline methodology applied and described in detail in section E.1
(Please underline the appropriate option(s))

- Project-specific by:
 - I. simulating a likely situation that would have existed without the project
 - II. taking an actual reference case project
 - III. other *(Please specify (insert lines as needed))*:
- Multi-project by using *(please specify briefly)*:

B.4.4 Describe the scope of the project boundary
(Please summarize briefly the related information provided in section E.2):

B.4.5 Describe the degree of aggregation of the multi-project baseline
(Please summarize briefly the related information provided in section E.1)

C. General compatibility with and supportiveness of national economic development and socio-economic and environment priorities and strategies

Describe briefly, to the extent that information is available (up to one page), and refer to documents, decisions and laws, as appropriate:

D. Environmental, economic and social and cultural impacts

Guidance for completing section D

The positive and negative impacts of the AIJ project activity on environmental (other than GHGs), economic and social and cultural areas shall be reported in this section, to the extent information is available. Whenever possible, *quantitative information* shall be provided. Failing that, a *qualitative description* shall be given. Indicators (qualitative and quantitative) applied shall reflect the impact of the AIJ project activity in an interconnected manner. Copies of reports, details and sources of information for environmental impact assessment standards, as applicable in the host country, (D.1), economic indicators (D.2) and social and cultural assessment measures (D.3) should be at least referenced. Documents required by law of the host or investor Party relating to these areas shall be at least referenced, for example an environmental impact assessment. The information provided for each section shall not exceed one page.

D.1 Environmental impact (positive and/or negative)**D.2 Economic impact (positive and/or negative)****D.3 Social and cultural impact (positive and/or negative)****E. Calculation of real, measurable and long-term environmental benefits relating to the mitigation of climatic change, that would not have occurred otherwise**

Guidance for completing section E

The baseline, i.e. what would have occurred in the absence of the AIJ project, shall be described in section E.1. Assumptions and characteristics of the baseline shall be provided in section E.1.1. The information provided shall include a list of uncertainty factors considered and the way such uncertainties are addressed in the baseline. The baseline shall be described in section E.1.2, including effects occurring outside the AIJ project activity boundary. Such effects may include: (i) positive effects (e.g. displacing activities that reduce emissions in another location; technology spillovers; awareness building; cost reduction of technology due to scale effects; and attraction of demand for clean, reliable services); and/or (ii) negative effects (e.g. displacing activities that cause emissions in another location; technology leakage; purchasing or contracting out of services and commodities that were previously produced or provided on-site and now lead to emissions elsewhere; emission increases due to higher demand for services and commodities whose market price has been reduced through the project; and changes in emissions during the life-cycle of a product so that emissions arise in other stages of the life-cycle that are not subject to constraints). If an overall leakage correction factor is used, its estimation and measurement shall be explained.

The reasons for selecting a baseline and the methodology shall be provided in subsection E.1.3. The type of methodological approach applied and described in this subsection shall be indicated in subsection B.4.3. Similarly, the level of aggregation of the project boundary should be indicated in section B.4.4.

The reporting on the calculation of GHG reductions and/or removals using IPCC global warming potentials for a 100-year time horizon (refer to annex 3) shall be transparent. The information provided in subsection E.1.4 shall be sufficient to enable a full understanding of the calculation and its results. Disaggregated activity data (e.g. fuel consumption), emission factors and other underlying assumptions and data, as well as effects occurring outside the project boundary, shall be considered and reported. Discount rates applied, if different from those used in subsection E.7.2, should be reported. Numeric data other than the GHG reduction and/or removals should be provided in the 'documentation box' at the end of the subsection.

Revisions of baselines shall be reported in section E.2, as applicable. The AIJ project scenario should be presented, including the methods applied to calculate the levels of emissions and/or removals by sinks. Guidance provided for subsections E.1.1, E.1.2 and E.1.4 shall apply to the respective subsections in section E.3.

The GHG reductions and/or removals calculated in subsections E.1.4, E.2.4, E.3.3 and E.4 shall be reported in the applicable tables of subsection E.5. Numerical data relating to activity, emission factors, underlying assumptions, etc., shall be reported in the documentation box provided in each subsection of E. Data should be reported only once and cross-referenced if necessary.

Depending on the mutually agreed assessment procedure chosen for the AIJ project activity, subsections E.6.1 to E.6.2 should be filled in as applicable. Information on cost shall be reported in subsection E.7. If cost information is considered confidential, the appropriate option in subsection E.7.1 shall be underlined.

The various cost items referred to in subsection E.7.2 are defined as follows:

- Capital costs are costs incurred in connection with the financial commitments of the project over its lifetime.
- Installation costs include construction and start-up costs, i.e. costs of construction of sites, installation of equipment etc.
- Operational and maintenance costs include the cost of operating and maintaining the project activity.
- Costs per metric ton of CO₂ equivalent are calculated by dividing the sum of gross AIJ project activity costs by the total CO₂ equivalent reductions or removals from tables E.5.1 or E.5.2, as applicable.

If this project has several sub-activities, please reproduce sections E.1 to E.5 for each sub-activity, as appropriate.

E.1 Assumptions and characteristics of the baseline

E.1.1 Assumptions of the baseline

(Describe (up to 1 page)):

E.1.2 Describe the baseline

(Please describe the baseline as well as leakage effects (up to 1 page)):

E.1.3 Reasons for selecting a baseline and its methodology

(Describe (up to 1 page)):

E.1.4 Calculation of values reported in 'Baseline scenario' in table E.5.1 column (A):

Documentation box *(Please provide numerical data referred to in this section):*

E.2 Assumptions and characteristics of the project scenario

E.2.1 Assumptions for the AIJ project activity and its boundary

E.2.2 Describe the project scenario

(Please describe the project scenario as well as effects occurring outside the project boundary (up to 1 page)):

E.2.3 Please explain why the AIJ project activity would not have taken place anyway

(Describe (up to 1 page)):

E.2.4 Calculation of values reported in 'Project scenario' in table E.5.1, column (B)

Documentation box *(Please provide numerical data referred to in this section):*

E.3 Revision of the baseline for the project

E.3.1 Baseline revisions are planned (please underline): Yes/ No

If yes, please complete the remainder of section E.3:

E.3.2 Revisions are planned at regular intervals (please underline): Yes/ No

- If yes, please specify date of first planned revision and the length of the intervals:
- If no, please explain revision schedule *(up to half a page)*:

E.3.3 Information on revisions

- If a baseline (and/or the project scenario) revision is covered by this report, describe briefly the nature of this revision, including parameters changed in the revision as well as the calculation of the new set of values in the column 'Baseline scenario' in a revision of table E.5.1, column (A): *(up to one page)*

- Date of last baseline revision: *(DD/MM/YYYY)*
- Date of next baseline revision: *(DD/MM/YYYY)*

Documentation box *(Please provide numerical data referred to in this section):*

E.4 Scope and performance of the actual project

Provide actual project data (E.5.2. Column B) and the calculations of the actual real, measurable and long-term emission reductions and/or removals as measured against the relevant (original/revised) baseline scenario values

Documentation box *(Please provide numerical data referred to in this section):*

E.5 Tables on real, measurable and long-term GHG emission reductions or removals by sinks (in CO₂ equivalent)

E.5.1 Projected real, measurable and long-term GHG emission reductions or removals by sinks

Projected real, measurable and long-term GHG emission reductions or removals by sinks over the lifetime of the AIJ activity
 (Please underline and complete, as appropriate: This is the initial table or this is revision ___ of this table)
 (in metric tons of CO₂ equivalent)

Insert rows as needed

Year	Baseline scenario ^a (A)				Project scenario ^a (B)				Projected real, measurable and long-term GHG emission reductions (-) or removals by sinks (+) (B - A)			
	CO ₂	CH ₄ ^b	N ₂ O ^b	Other ^b	CO ₂	CH ₄ ^b	N ₂ O ^b	Other ^b	CO ₂	CH ₄	N ₂ O	Other
TOTAL												

^a Including effects occurring outside the project boundary (leakage) as described in sections E.1.4, and E.2.4, as applicable

^b Please convert values into global warming potentials, referring to annex 3 for conversion factors.

E.5.2 Actual real, measurable and long-term GHG emission reductions or removals by sinks

Actual real, measurable and long-term GHG emission reductions or removals by sinks of the AIJ activity
(in metric tons of CO₂ equivalent)

Please insert values assessed ex post i.e. after measurement. Insert rows as needed.

Year	Baseline scenario ^{a b} (A)				Actual project ^{a b} (B)				Actual real, measurable and long-term GHG emission reductions (-) or removals by sinks (+) (B - A)			Values indicated are assessed independently (Yes/No)	
	CO ₂	CH ₄ ^c	N ₂ O ^c	Other ^c	CO ₂	CH ₄ ^c	N ₂ O ^c	Other ^c	CO ₂	CH ₄	N ₂ O		Other
TOTAL													

^a Including effects occurring outside the project boundary (leakage) as described in sections E.1.4, E.2.4, E.3.3 and E.4, as applicable.

^b Values that differ from those in table E.5.1 should be marked in **bold**.

^c Please convert values into global warming potentials, referring to annex 3 for conversion factors.

E.6 Mutually agreed assessment procedures

If the AIJ activity provides for mutually agreed assessment procedures, please complete subsection E.6.1 or E.6.2, as applicable.

E.6.1 Assessment procedures that use all or one of the following steps:

E.6.1.1 Initial independent assessment of the project activity:

- Has the project design been subject to such an assessment?
(Please underline): Yes/No
- If yes, what organization(s) is/are involved: *(Please indicate the type(s) of organization(s) (consultancy, accredited certification body, government body, university, etc.) and provide their detailed contact information in annex 1 to this report).*

E.6.1.2 Monitoring

- Does the project have a monitoring plan? *(Please underline):* Yes / No
- Summarize briefly the key elements of the monitoring plan *(which parameters are being monitored, with what frequency, providing sampling intensities if appropriate, methods and equipment; associated uncertainties, etc.) (not more than 1 page):*
- Is the monitoring conducted by project proponents? *(Please underline):* Yes / No
- If no, which organization(s) is/are involved: *(Please indicate the type(s) of organization(s) (consultancy, accredited certification body, government body, university, etc.) and provide their detailed contact information in annex 1 to this report).*

E.6.1.3 Independent assessment of the project performance

- Is the activity subject to such an assessment? *(Please underline):* Yes / No
- If no, is such an assessment intended? *(Please underline):* Yes / No
- If yes, what organization(s) is/are involved: *(Please indicate the type(s) of organization(s) (consultancy, accredited certification body, government body, university, etc.), and provide their detailed contact information in annex 1 to this report. Indicate the frequency of the assessments, how many assessments have taken place to date, and whether the assessment report(s) is/are publicly available if requested).*
- Summarize briefly the key elements of the assessment activities: *(Please describe issues such as criteria used; the project design; project implementation; key project parameters being verified; the frequency of assessment/surveillance; sampling approach applied by the assessing organization) (up to one page):*

E.6.1.4 Provision of written statement by an independent entity regarding the performance of the project activity

(Please note that such a statement is not a formal requirement under the AIJ pilot phase) (see also the note at the beginning of section E.6). If the project has made provision for such a statement, please indicate the name of the independent body and attach a copy of the written statement(s).

E.6.2 Other form of mutually agreed assessment procedure *(please specify):*

E.7 Cost (to the extent possible)

E.7.1 The cost information is *(Please underline):*

- Provided below
- Not provided because the data are *(Please underline):*

- Not yet available
- Classified as confidential

E.7.2 AIJ project activity costs

Please list cost figures per year (insert rows as needed)

Description	Amount in US\$	
	Projected (A)	Incurred ^(a) (B)
(1) Capital costs		
(2) Installation costs		
(3) Operational and maintenance costs		
(4) Total AIJ project costs (<i>sum (1) to (3) above</i>)		
(10) Projected costs per metric ton of CO₂ equivalent (<i>divide (4) in column (A) by total reductions/removals from the most recent table E.5.1</i>)		
(11) Incurred costs per metric ton of CO₂ equivalent (<i>divide (4) in column (B) by total reductions/removals reflected in table E.5.2</i>)		

^(a) Indicate the total incurred until the date of this report.

F. Financial additionality

*Bearing in mind that the financing of AIJ shall be **additional** to financial obligations of Parties included in Annex II to the Convention within the framework of the financial mechanism, as well as to current official development assistance (ODA) flows (decision 5/CP.1), please list sources and the purpose:*

Source and purpose of the AIJ project activity funding <i>Including pre-feasibility phase (One line for each source)</i>	Amount <i>(in thousands of US\$)</i>

G. Contribution to capacity-building, transfer of environmentally sound technologies and know-how to other Parties, particularly developing country Parties, to enable them to implement the provisions of the Convention. In this process, the developed country Parties shall support the development and enhancement of endogenous capacities and technologies of developing country Parties

Guidance for completing section G:

The key technology(ies) transferred through the AIJ project activity shall be described briefly in section G.1. If information is considered to be confidential, the respective field should be indicated as such.

To the extent possible, the characteristics of the key technology(ies) transferred shall be indicated in section G.2 by underlining one of the options provided. If the last option is chosen, a brief description should be provided.

The impact of the AIJ project on capacity-building and transfer of environmentally sound technology and know-how shall be described in section G.3 covering issues such as information dissemination, centres and networks; effect on market development (e.g. relative changes in installed capacities, number of systems installed, investment volumes, sales volumes); specific barriers overcome (informational, financial, legal, institutional); institutions strengthened; new financing schemes or models introduced; and new legal or institutional arrangements made. The contents of section G.3 should show "how" capacity-building and the transfer of environmentally sound technologies and know-how, as applicable, occurred. Indicators relating to such impact shall be referenced if collected.

G.1 Identification of environmentally sound technology and know-how

- Name of manufacturer:
- Place of manufacture (*country*):
- Model names and numbers of equipment (*where appropriate*):
- Any other relevant key specific technology characteristics:
- Where applicable, name and location of provider and nature of training:

G.2 Characteristics of environmentally sound technology

The technology is (underline the option):

- At a research and development stage
- Being tested or demonstrated in similar conditions outside the host country
- At the initial stage of introduction into the world market
- At the initial stage of introduction into the host market
- Commercially available and deployed in the world market
- Commercially available and deployed in the host market
- Not characterized by the above options. *Please describe:*

G.3 Impact of the AIJ project on capacity-building and transfer of environmentally sound technology and know-how (up to two pages):

H. Additional comments

Complete as appropriate:

Annex 1 to the revised uniform reporting format (URF 01)

Participants' contact information

Please provide contact information for each organization. Add rows as required (by copying and pasting)

Name	Address^a	Voice/Fax/E-mail
Organization(s):^b		
Function(s) within activity:^c		
Officer responsible:		Tel: Fax: E-mail:
Contact person, if different from above:		Voice: Fax: E-mail:

^a Address should include: department, street, postal code, city, country and the Internet address of the organization (if available).

^b Organization includes: institutions, ministries, government agencies closely following the activity, companies, non-governmental organizations, etc., involved in the activity.

^c Function within activity: please use the following categories:

Function	Description of function
<i>Project development</i>	<i>Designing/developing the AIJ project and/or submitting the AIJ project proposal</i>
<i>Project operator</i>	<i>Implementing and administering the AIJ project activities</i>
<i>Government regulation/oversight</i>	<i>Ensuring compliance of the project with laws and regulations</i>
<i>Technical assistance</i>	<i>Providing scientific or other technical guidance or support for the purposes of project development and/or project administration, implementation, training and education activities</i>
<i>Financing</i>	<i>Serving as a source of funding for the AIJ project</i>
<i>Initial independent assessment of project activity</i>	<i>Assessing whether the project activity meets a given set of criteria</i>
<i>Monitoring</i>	<i>Monitoring the environmental and/or socio-economic results of the project in accordance with a monitoring protocol</i>
<i>Independent assessment of project performance</i>	<i>Assessing the performance (environmental and/or socio-economic) achieved by a project against pre-set criteria</i>
<i>Providing independent written statement on performance</i>	<i>Providing written assurance that a performance is achieved and/or a set of criteria is met by an activity</i>
<i>Designated national authority</i>	<i>Entity authorized to officially accept, approve or endorse the AIJ project</i>
<i>Other (please specify)</i>	

Annex 2 to the revised uniform reporting format (URF 01)**Project Type Descriptors**

To describe the type of project activity, please specify the sector(s) and activity(ies). Use a combination from the first column (sector) and one option from the second column (activity):

Sector	Activity
Energy	Fuel-switching, renewable energy generation, alternative energy generation, improving energy efficiency, reduction of fugitive emissions from fuels, other (please specify)
Industrial processes (Excluding GHG emissions from energy production)	Material substitution, process or equipment change, waste treatment, recovery or recycling, other (please specify)
Solvent and other product use	Material substitution, process or equipment change, waste treatment, recovery or recycling, other (please specify)
Agriculture	Livestock productivity management, livestock manure management, crop management, crop-switching, fertilizer management, fertilizer substitution, other (please specify)
Land-use change and forestry	Afforestation, reforestation, forest preservation, agroforestry, silviculture (forest management), fire management, sustainable harvesting, reduced impact logging, manufacture of durable wood products, other (please specify) ^a
Transport	
Waste	Solid-waste management, landfill methane recovery, wastewater management, other (please specify)
Other	Please make a proposal for the sector and activities

Note: One AIJ project activity may cover several project types.

^a Parties may wish to further revise these activity categories in the light of results of methodological work on land use, land-use change and forestry.

Annex 3 to the revised uniform reporting format (URF 01)**1995 IPCC global warming potential (GWP) values^a
based on the effects of greenhouse gases over a 100-year time horizon**

Greenhouse gas	Chemical formula	1995 IPCC GWP
Carbon dioxide	CO ₂	1
Methane	CH ₄	21
Nitrous oxide	N ₂ O	310
Hydrofluorocarbons (HFCs)		
HFC-23	CHF ₃	11700
HFC-32	CH ₂ F ₂	650
HFC-41	CH ₃ F	150
HFC-43-10mee	C ₅ H ₂ F ₁₀	1300
HFC-125	C ₂ HF ₅	2800
HFC-134	C ₂ H ₂ F ₄ (CHF ₂ CHF ₂)	1000
HFC-134a	C ₂ H ₂ F ₄ (CH ₂ FCF ₃)	1300
HFC-143	C ₂ H ₃ F ₃ (CHF ₂ CH ₂ F)	300
HFC-143a	C ₂ H ₃ F ₃ (CF ₃ CH ₃)	3800
HFC-152a	C ₂ H ₄ F ₂ (CH ₃ CHF ₂)	140
HFC-227ea	C ₃ HF ₇	2900
HFC-236fa	C ₃ H ₂ F ₆	6300
HFC-245ca	C ₃ H ₃ F ₅	560
Perfluorocarbons		
Perfluoromethane	CF ₄	6500
Perfluoroethane	C ₂ F ₆	9200
Perfluoropropane	C ₃ F ₈	7000
Perfluorobutane	C ₄ F ₁₀	7000
Perfluorocyclobutane	c-C ₄ F ₈	8700
Perfluoropentane	C ₅ F ₁₂	7500
Perfluorohexane	C ₆ F ₁₄	7400
Sulphur hexafluoride	SF ₆	23900

^a As provided by the IPCC in its Second Assessment Report. Please refer to conclusions of the SBSTA at its fourth session (FCCC/SBSTA/1996/20) and decision 2/CP.3 (FCCC/CP/1997/7/Add.1).

Annex 4 to the revised uniform reporting format (URF 01)

[Decision 20/CP.8]

Annex 5 to the revised uniform reporting format (URF 01)

[Decision 5/CP.1]
