



United Nations

FCCCC/TP/2014/5



Framework Convention on
Climate Change

Distr.: General
20 November 2014

English only

Revision of the “Guidelines for the preparation of national communications by Parties included in Annex I to the Convention, Part II: UNFCCC reporting guidelines on national communications”

Technical paper

Summary

This technical paper synthesizes views from Parties on the overall approach for the revision of the “Guidelines for the preparation of national communications by Parties included in Annex I to the Convention, Part II: UNFCCC reporting guidelines on national communications”. It also provides a technical analysis of the current reporting guidelines for national communications to identify further requirements which need to be updated, modified or enhanced so as to ensure coherence and consistency with other reporting requirements under the Convention and to better reflect the latest decisions from the Conference of Parties on relevant matters.

GE.14-22464



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I. Introduction

A. Background and mandate

1. The Conference of the Parties (COP), by decision 1/CP.16, decided that developed country Parties should, by building on existing reporting and review guidelines, processes and experiences, enhance reporting in national communications (NCs) and submit biennial reports (BRs) that outline the progress made in achieving emission reductions and the provision of financial, technological and capacity-building support to Parties not included in Annex I to the Convention (non-Annex I Parties).
2. The COP, by decision 2/CP.17, decided that in the years when the full national communications are submitted, each developed country Party should present its BR as an annex to the NC or as a separate report. By the same decision, the COP requested the Subsidiary Body for Implementation (SBI) to begin, at its fortieth session, the revision of the “Guidelines for the preparation of national communications by Parties included in Annex I to the Convention, Part II: UNFCCC reporting guidelines on national communications” (hereinafter referred to as the UNFCCC reporting guidelines on NCs), based on the experiences gained in preparing the first BRs and other information, with a view to the revised guidelines being adopted at COP 20. Decision 2/CP.17 also requested the secretariat to prepare a technical paper to facilitate the consideration by SBI 41 of the revision of the UNFCCC reporting guidelines on NCs.
3. The COP by decision 19/CP.18 encouraged developed country Parties to ensure consistency, to the extent possible, between the information provided in their BRs and NCs. Thus, in proposing changes to the existing UNFCCC reporting guidelines on NCs, due consideration should also be given to the “UNFCCC biennial reporting guidelines for developed country Parties” (hereinafter referred to as the UNFCCC reporting guidelines on BRs).
4. Parties made a first submission on their views for revising the UNFCCC reporting guidelines on NCs earlier in 2014. At SBI 40, Parties were invited to submit additional views on the revision of these guidelines by 20 August 2014. The secretariat includes a synthesis of these views in this technical paper to help with negotiations at SBI 41 on this matter.

B. Scope, approach and structure of the technical paper

5. NCs form a key part of the reporting requirements for Parties to the Convention. Article 4.1(b) of the Convention states that all Parties shall “formulate, implement, publish and regularly update national and, where appropriate, regional programmes containing measures to mitigate climate change by addressing anthropogenic emissions 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”. Article 12 of the Convention outlines the information related to the implementation of the Convention that is to be communicated by all Parties, forming the basis of NCs. The UNFCCC reporting guidelines on NCs, as well as the review process for Parties included in Annex I to the Convention (Annex I Parties), aim to enhance transparency, accuracy, completeness, consistency, comparability and build trust among Parties.
6. This paper synthesizes views on the overall approach and views on the structure, outline, key elements and content of the revised UNFCCC reporting guidelines on NCs

contained in seven submissions received from four Parties over two rounds of submissions (Japan, the European Commission on behalf of the European Union and its member States, New Zealand and the United States of America).¹ In addition, the secretariat performed a technical analysis of the current reporting guidelines on NCs with a view to identifying further requirements which need to be updated, modified or enhanced so as to better reflect, among other things, the latest COP decisions and to ensure coherence and consistency with other reporting requirements under the Convention. Furthermore, as some Parties proposed draft text and key elements for the revised guidelines in their submissions, a consolidated draft of the revised reporting guidelines on NCs, based on these submissions and the secretariat's technical analysis, is included in the annex to serve as input for the consideration at SBI 41.

7. The approaches and options proposed by Parties in their submissions are transparently presented and attributed in this technical paper and its annex. Some Parties provided suggestions for elements to be included in the updated UNFCCC reporting guidelines on NCs but did not provide specific text. These are presented in the annex with a placeholder to show that related texts will be further developed. In addition, based on its technical analysis, the secretariat has proposed options for changes, which are also included in the annex and are clearly identified. Proposals appear in green text, while Parties' proposals for which text is yet to be provided appear in blue text. 'Strike-through' formatting is used when only deletions have been suggested, without suggestions for new text. Where the suggested deletions are followed by proposed new text, they are bracketed (both the original and the new text). Bracketed names of Parties (e.g. Japan, EU, NZ, USA) or "(secretariat)" indicate the origin of the proposals. The paragraphs were numbered using the suffixes bis, ter, quater, etc., mirroring the paragraph numbering approach used in the current reporting guidelines on NCs.

8. As one of the main issues for the revision of the UNFCCC reporting guidelines on NCs is to ensure their consistency with the reporting guidelines on BRs and to avoid duplication, the secretariat also presents in this paper, for consideration by the Parties, the option of having the reporting guidelines on NCs fully aligned with the reporting guidelines on BRs while maintaining their structure, scope and comprehensive nature.

9. This paper is structured as follows: chapter I provides the background, mandate, scope, approach and structure of the paper; chapter II presents the overall principles and approach for the revision of the UNFCCC reporting guidelines on NCs as presented by Parties in their submissions, highlighting in particular the links between BRs and NCs; chapter III provides guidance on future work needed along with other considerations linked to the revision of the reporting guidelines on NCs as identified in the submissions of the Parties; chapter IV provides for each section of the NC: (a) background information; (b) an overview of the proposed changes by Parties based on their submissions; (c) a discussion of the potential links to BRs based on views from Parties in their submissions and on the technical analysis conducted by the secretariat; (d) a discussion of additional issues to be considered along with proposed changes resulting from a technical analysis of the current guidelines; (e) as appropriate, an outlook to upcoming developments which might further influence the content of the reporting guidelines on NCs. The annex contains the draft revised reporting guidelines on NCs, which were prepared by the secretariat based on the submissions of Parties and its own technical analysis. In many sections of the draft guidelines (annex), standard reporting tables are proposed to increase the transparency, comparability and consistency of the reported information which could, in turn, facilitate the review of NCs.

¹ The submissions are available at
<<http://www4.unfccc.int/submissions/SitePages/sessions.aspx?showOnlyCurrentCalls=1&populateData=1&expectedsubmissionfrom=Parties&focalBodies=SBI>>.

II. Principles for the revision of the reporting guidelines on national communications and overall approach

A. Overall principles and approach

10. As the current UNFCCC reporting guidelines on NCs, which focus on NCs from Annex I Parties, date back to 1999, they are rather outdated and may no longer best reflect the current information needs of the climate change community. In addition, Annex I Parties have, in the meantime, agreed to strengthen their reporting, in particular, on the provision of support and on the monitoring of the progress towards greenhouse gas (GHG) emission reduction targets which resulted in a set of adopted reporting guidelines on BRs along with common tabular formats. Consequently, there are a number of inconsistencies, differences and overlaps between the reporting guidelines on NCs and the reporting guidelines on BRs.

11. In view of the above, Parties in their submissions suggested that the current UNFCCC reporting guidelines on NCs be revised to: (a) streamline the reported information with the information reported in BRs in order to avoid inconsistencies, differences and overlaps; (b) update those elements which are outdated (e.g. years, gases, sectors, reporting tables); (c) enhance the scope and type of information included in NCs to better reflect the reporting experience gained over the past two decades, as well as to reflect the latest work conducted under the Convention. The views of Parties are further elaborated in chapter II.B and C below.

12. One Party specifically noted that the revised UNFCCC reporting guidelines on NCs should detail reporting requirements and format in the clearest manner possible, as clarity improves the quality of the information submitted by Parties and the quality and efficiency of the review process.

13. Many Parties noted that the work on the revision of the UNFCCC reporting guidelines on NCs could also lead to some changes and revisions of the reporting guidance for BRs or the related common tabular format (CTF) tables. These Parties suggested the adoption of such changes in conjunction with the development of the revised reporting guidelines on NCs.

14. Two approaches were considered for the revision of the UNFCCC reporting guidelines on NCs, based on the submissions by Parties and the secretariat's technical analysis. The first approach is based on the premise that in those years in which both reports are due, the BR should be the main vehicle of reporting and the NC should only provide a summary of the overlapping topics. At the operational level, this approach requires:

(a) Aligning the reporting guidelines on NCs with the reporting guidelines on BRs in areas where these overlap;

(b) Taking into consideration improvements suggested by Parties in their submissions based on their experience with the preparation of the first BRs.

15. However, this approach has its limitations because the reporting requirements, in particular on policies and measures and GHG projections, contained in the reporting guidelines on BRs are less comprehensive compared with the respective requirements in the reporting guidelines on NCs. In addition, as Parties to the Kyoto Protocol are required to include in their NCs supplementary information in accordance with Article 7, paragraph 2 of the Kyoto Protocol, having a succinct NC may imply the need for a revision of the reporting guidelines under the Kyoto Protocol (decision 15/CMP.1).

16. The second approach envisages that, in years where both NCs and BRs are due, Parties use the NC as the main instrument for reporting. Parties can then replicate in their BR the information contained in the NC or include summary information oriented to the policy-making community and cross-references, as appropriate, in accordance with the respective guidelines. This second approach could help Parties to report information consistently in their NCs and BRs, and could also provide Parties with the flexibility to cross-reference information as appropriate. At the operational level, this approach requires:

(a) Aligning the UNFCCC reporting guidelines on NCs with the UNFCCC reporting guidelines on BRs in those areas where the latter contain improved and/or updated information;

(b) Taking into consideration improvements suggested by Parties in their submissions based on their experience with the preparation of the first BRs;

(c) Adding further information when needed (e.g. on longer term emission goals/targets);

(d) Including the CTF tables in the reporting guidelines on NCs with a requirement that these tables be reported as part of the NC in the years when both NCs and BRs are due.

B. Streamlining information and ensuring consistency between the national communications and the biennial reports

17. The scope of BRs is largely similar to that of NCs, except for the parts that are unique to NCs (executive summary, national circumstances, vulnerability and adaptation, research and systematic observation, education, training and public awareness) and all Parties have noted the importance of ensuring that the revised UNFCCC reporting guidelines on NCs are consistent with the UNFCCC reporting guidelines on BRs in order to reduce the reporting burden and facilitate the review process while ensuring the transparency, consistency and comparability of the reported information. Parties proposed, in particular, that the NC tables be replaced, as applicable, with the CTF tables developed for BRs.

18. One Party specifically recommended that Parties consider the feasibility of consolidating the two sets of guidelines into a single compilation document, akin to the consolidated review guidelines adopted under decision 23/CP.19. The Party considered that such consolidation would eliminate the current need to refer to several documents while preparing a single report, and would help to clarify what information should be duplicated among reports.

19. Another Party emphasized that the UNFCCC reporting guidelines on BRs reflect the present reporting needs better than the reporting guidelines on NCs, hence the latter have to be adjusted accordingly to reflect all elements captured in the reporting guidelines on BRs.

20. Most Parties highlighted the need for ensuring consistency and transparency in reporting on financial, technology and capacity-building support, which has been significantly enhanced in the reporting guidelines on BRs.

21. Many Parties highlighted the importance of ensuring that the BR is a stand-alone document in the years in which no NC is submitted. One group of Parties noted, in particular, the importance of avoiding the duplication of information between the BR and NC in the years when both reports are due. This group of Parties also noted that the revision of the UNFCCC reporting guidelines on NCs should keep flexibility for Parties to decide in which report certain information is included and avoid duplication by using cross-

references between the two reports with the exception of information on financial support, where it is deemed important that all Parties provide the same information in the same report so as to ensure transparency, consistency and comparability. This group of Parties noted that, in particular, for quantitative information provided in tabular formats, the same tables should be used for both types of report.

22. The same group of Parties also suggested that BRs could focus on presenting quantitative information in tabular format along with relevant explanations whereas NCs could include more detailed qualitative explanations, descriptions and background information that do not change significantly from year to year.

C. Enhancing the scope of national communications

23. One group of Parties stipulated that the revision of the UNFCCC reporting guidelines on NCs should reflect the work conducted and implemented under other UNFCCC work streams, alongside relevant work of bodies outside the Convention, particularly regarding adaptation, finance, technology and capacity-building support and activities under Article 6 of the Convention. This group of Parties highlighted in particular the work undertaken by the Subsidiary Body for Scientific and Technological Advice (SBSTA) on methodologies for reporting financial information (decision 2/CP.17) and the work conducted by the Standing Committee on Finance (SCF) related to the first “Biennial assessment and overview of climate finance flows” and on considering ways of strengthening methodologies for reporting climate finance (decision 2/CP.17; decision 5/CP.18).

24. The same group of Parties suggested that due consideration be given to paragraph 45 of decision 1/CP.16 which stipulates that developed country Parties should develop low-carbon development strategies and plans. Specifically, the group stipulated that the links between the low-carbon development strategies and the information in NCs should be discussed along with whether such strategies or plans should to some extent be reflected or referred to in NCs.

III. Guidance for further work and other considerations

25. Parties shared their views on the process for the revision of the UNFCCC reporting guidelines on NCs and the further work that is needed. One group of Parties proposed in its submission that, in determining the content of NCs in those years in which NCs and BRs are submitted, in addition to the experiences of Parties the following should also be taken into account: the experiences of reviewers relating to the technical reviews of the sixth national communications of Annex I Parties and the first review of the biennial reports, as well as recommendations from the meeting of lead reviewers in 2015. The group also deemed it useful to gather the experiences of the UNFCCC secretariat from the synthesis and compilation of the information contained in NCs and BRs to assess in which areas clarification of the guidelines could enhance the efficiency of the secretariat’s work.

26. One Party noted that once the reporting guidelines have been adopted by the COP, the development of an annotated outline would provide the opportunity for clarification for Parties regarding what information should/should not be duplicated between the two reports in years when both BRs and NCs are submitted. This could be done in the same manner as the guidance provided by the secretariat in the presentation given to lead reviewers in Bonn on 18 March 2013.

27. The same Party also noted that Parties are now involved in the negotiation of a new agreement under the Convention that will be applicable to all. Therefore, in undertaking the

revision of the UNFCCC reporting guidelines on NCs, Parties should be moving towards aligned reporting guidelines as part of the transition to a new, universal measurement, reporting and verification (MRV) regime. In this respect, another Party noted that the decision adopting these guidelines should reflect that when one set of guidelines is changed, then the changes would also apply to the other guidelines where the same information is reported.

IV. Overview of proposed changes to the reporting guidelines on national communications

A. Introduction

28. One Party suggested in its submission that part B (Structure) of the “introduction” section of the current UNFCCC reporting guidelines on NCs should be prepared as an annex to the revised guidelines in order to assist the preparation of NCs by Parties and enhance transparency and comparability in the same way as the current guidelines.

29. A group of Parties noted that part B (see para. 28 above) should be moved to the end of the guidelines, in line with the structure of other reporting guidelines. The same group of Parties suggested that a paragraph on the general relationship between BRs and NCs should be added to the “introduction” section of the revised UNFCCC reporting guidelines on NCs.

B. National circumstances relevant to greenhouse gas emissions and removals

1. Background

30. In the UNFCCC reporting guidelines on NCs, Parties are required to provide details of their national circumstances among other information on their economic, population, climate and geographic profile and their government structure, as well as general information on the various sectors of their economy. The guidelines regarding the provision of information on national circumstances are primarily geared towards providing a context for the observed emission trends (past, current, future).

2. Views expressed by Parties

31. One group of Parties suggested that in order to better highlight the information that is key to understanding emission trends, it could be worth rearranging the list of elements to be reported, as currently given in the UNFCCC reporting guidelines on NCs. Specifically, information related to the changes/trends in the population and economy should be brought forward, followed by information on a country’s climate and geographic profile.

3. Coherence/consistency with biennial reports

32. BRs do not require Parties to report on their national circumstances, thus this section of the NC will also provide important background information that can be used for the better understanding of the information presented in the biennial reports.

33. The UNFCCC reporting guidelines on BRs contain a requirement for Parties to report on their quantified economy-wide emission reduction target. The quantified economy-wide emission reduction target that a Party has committed to is what primarily sets the context for all the actions that a Party is taking or will take and determines to a

large extent the types of programmes and activities that a Party will engage in, in order to achieve this target. As the national circumstances chapter provides the context for the information reported in the rest of the NC, the UNFCCC reporting guidelines on NCs could be amended to require that Parties provide in this chapter the essential information on their quantified economy-wide emission reduction targets and the progress made in achieving it. Parties could then include the relevant CTF tables on progress towards their target in the projections section of the NC. This would ensure that Parties transparently and consistently present the target-related elements that affect the projected emission trends.

4. Issues for further consideration and proposed changes

34. The information reported in the national circumstances section of the NC is often replicated in other parts of the NC. Instead of providing a general framework addressing, for example, a country's economic, population, geographic and climatic profile, the information provided on national circumstances often goes into specifics. For example, many Parties currently describe in this section of the report the drivers behind specific policies and trends, while such information would be better situated in the relevant chapters of the NC. The existing UNFCCC reporting guidelines on NCs could be amended to clearly state that the purpose of this particular section is to provide a general context for the information contained in this report and that information on sector-specific policies and measures should be presented in the relevant chapter.

35. In order to enhance the understanding of the choices made by each Party with regards to its overall approach to climate change, the scope of the national circumstances section of the NC could also be expanded to allow Parties to present the challenges, barriers and constraints in effectively and efficiently addressing climate change.

36. As mentioned above, the scope of reporting on national circumstances is rather limited and mostly geared towards providing a context for the observed emission trends. Given the significant efforts made by Parties to reduce their carbon footprint and to effectively respond to the negative effects of climate change, this section could be expanded to provide information on the main drivers for the overall approach to mitigation and adaptation taken by the Party.

37. The information presented by Parties on their national circumstances varies significantly, with many Parties providing more qualitative rather than quantitative information. The revised UNFCCC reporting guidelines on NCs could benefit from the inclusion of additional standardized quantitative information which could ensure the consistency and comparability of the information reported by Parties. Some indicators and parameters to consider could be: rate of population growth, rate of growth of gross domestic product (GDP), heating degree days, final and primary energy consumption, share of renewable energy (in gross final energy consumption), value added by industry sector and industrial production, waste generation and recycling practices, green space ratio, agricultural area and production, forest area.

C. Greenhouse gas inventory information

1. Background

38. The current UNFCCC reporting guidelines on NCs require Parties to report summary information on their emissions and emission trends, including in tabular format, from their latest GHG inventory. Annex I Parties already submit GHG inventory information and extensive GHG inventory reports on an annual basis. The information presented therein is also being extensively reviewed annually.

2. Views expressed by Parties

39. One group of Parties noted the need to clarify the relationship of this reporting requirement with that in BRs and stated that the replication of the GHG inventory information in the NC is superfluous, as this information is already included in the annual GHG inventory reports and is also required in BRs. Overall, the group was in favour of the common reporting format (CRF) tables of emissions and trends being primarily an element of the BR and of maintaining flexibility for Parties to include and cross-reference the requested inventory information in the two reports (NCs and BRs) as they see fit.

40. The same group of Parties also stated that the UNFCCC reporting guidelines on NCs should only contain a short summary of the description of national inventory arrangements,² as such a requirement is already part of the updated “Guidelines for the preparation of national communications by Parties included in Annex I to the Convention, Part I: UNFCCC reporting guidelines on annual inventories”³ and of the guidelines on BRs.

3. Coherence/consistency with biennial reports

41. The UNFCCC reporting guidelines on NCs and BRs fully overlap with regards to the GHG inventory information requested. Thus the wording in the reporting guidelines on NCs could be amended to be consistent with the wording used in the guidelines on BRs. Further, the quantitative information submitted in tabular form should be the same under both reports.

42. In addition to the GHG inventory information, the reporting guidelines on BRs contain a requirement for Parties to report on their national inventory arrangements. The reporting guidelines on NCs could be amended to also request that Parties provide a summary of their institutional arrangements in order to ensure consistency with the reporting guidelines on BRs. Parties could then decide whether they will replicate the same information in both reports or simply cross-reference the required information.

4. Issues for further consideration and proposed changes

43. Annex I Parties submit annually comprehensive reports on their GHG emissions. This information need not be replicated in the NC. Therefore, in the descriptive summary requested in the GHG inventory section of the NC, the main focus could be on selecting and presenting the information which helps to put in context a Party’s mitigation actions. Thus a specific reference to mitigation could be added in this paragraph of the UNFCCC reporting guidelines on NCs.

44. In an effort to further streamline the information presented in NCs, the descriptive summary paragraph of this section of the reporting guidelines on NCs could also specify that the relevant explanations provided by Parties on the observed trends and the key sectors should represent a further elaboration but not a replication of the information provided in the national circumstances chapter.

D. Policies and measures

1. Background

45. In accordance with Article 12, paragraph 2, of the Convention, Annex I Parties shall communicate information on policies and measures adopted to implement commitments under Article 4, paragraph 2(a) and (b). Policies and measures could be economy-wide, and

² Not a requirement in the current UNFCCC reporting guidelines on NCs.

³ FCCC/SBSTA/2006/9.

cover several or single sectors, such as energy supply and demand, transport, buildings, industry, agriculture, forestry and waste management. The UNFCCC reporting guidelines on NCs currently require that Parties report on their planned, adopted or implemented policies and measures and on their effects, subdivided by sector and gas, as well as on their policy-making processes.

46. Although experience with reporting by Parties has demonstrated that it is very difficult to assess the impacts of individual policies and measures to mitigate GHG emissions in a thorough manner, it has, nonetheless, become increasingly important to do so as, under the Cancun Agreements, Parties have made conditional and unconditional pledges to reduce emissions by 2020. The achievement of the emission reduction goals identified by Parties will require close monitoring of the policies and measures at both the domestic and the international level.

2. Views expressed by Parties

47. Parties noted that there are similar requirements on information on mitigation actions in the reporting guidelines on both NCs and BRs. One group of Parties noted that there is a requirement to clarify what should be reported in the NC and what in the BR. The group suggested that reporting in the NC should build on the reporting in BR, noting that the requirements for reporting mitigation actions in the BR is specific to the economy-wide emission reduction targets, while the information required in the NC may have a broader scope and may also address long-term mitigation strategies until 2030 or 2050 or additional domestic targets. The group suggested that the NC should report on the most important policies and measures in narrative form, as well as on significant policies and measures that may not necessarily be covered by the reporting in the BR. Duplication of information should be avoided as far as possible when the NC and BR are submitted in conjunction.

48. All Parties noted the need to update the requirements and detailed reporting tables in the UNFCCC reporting guidelines on NCs to ensure consistency with the reporting guidelines on BRs and with recent decisions on the gases, sectors or years for which information is required.

49. One Party noted that there should be a single set of sector categories that reflect the annual GHG inventory. Policies and measures categorizations can widely differ from inventory categories (i.e. the Intergovernmental Panel on Climate Change (IPCC) categories), but the Party considered it important that the GHG projections match the historic GHG emissions presented in the inventory.

50. One group of Parties noted that the reporting guidelines on NCs should be revised to take into account future agreements on mitigation commitments, as currently discussed under the Ad Hoc Working Group on the Durban Platform for Enhanced Action (ADP) with the aim of ensuring the completeness and comparability of the information provided by Parties but also to allow sufficient flexibility for Parties to report on all relevant aspects of their mitigation targets.

3. Coherence/consistency with biennial reports

51. Similar to the UNFCCC reporting guidelines on NCs, the reporting guidelines on BRs contain a requirement for Parties to report on their mitigation actions and their effects as well as on their institutional arrangements. The guidelines on NCs provide more detailed guidance on the reporting of policies and measures than the guidelines on BRs, however, in order to ensure consistency in reporting, the requirements for NCs could be updated with those for BRs. In particular, the table on policies and measures requested in NCs could be substituted with the one developed for BRs (CTF table 3) which is updated, better structured and more comprehensive.

52. The UNFCCC reporting guidelines on NCs could be amended to also request that Parties provide information on mitigation actions and their effects as well as on institutional arrangements to ensure full consistency for years when both reports are due. Parties could then decide to replicate the same information in both reports or simply provide relevant cross-references.

4. Issues for further consideration and proposed changes

53. The years, gases and sectors for which information is currently requested with regards to policies and measures are clearly outdated and should be updated to reflect the latest decisions under the Convention. For example, as time has passed the current reporting guidelines on NCs have ended up requiring Parties to provide information on the effects of policies and measures for past years (1995, 2000, 2005) as opposed to future years. In addition, through decision 4/CMP.7 nitrogen trifluoride (NF₃) was added to the GHGs to be reported on.

54. The sectoral disaggregation used for the reporting of GHG emissions, projections and the effects of policies and measures can be inconsistent. To address this, the UNFCCC reporting guidelines on NCs could be amended to require that Parties provide a table or graph demonstrating how the sectors and subsectors identified in the various chapters of the report (GHG inventory, projections, policies and measures) are linked with one another.

55. Currently, Parties present their policies and measures by sector and by gas. In order to increase the usefulness of the information provided and to enhance coherence with other sections of the NC, Parties could be requested, when identifying the emission source or sink category targeted by a policy or measure, to also state whether this is a “key category” (as commonly estimated through the inventory key category analysis).

56. The current reporting guidelines on NCs require that the effects of each policy and measure be reported for one particular year. In cases where this may not be feasible Parties could be given the possibility to provide estimates of the total effect on emissions of a particular policy and measure over its lifetime along with, if applicable, a graphical representation of how the expected effects are distributed over this time period.

E. Projections and the total effect of policies and measures

1. Background

57. Emission projections are an essential part of NCs, as they provide useful information on the expected development of emissions over time in the various sectors of the economy and, to a certain degree, they reflect the effectiveness of the mitigation actions assumed by each Party. Projections are also a useful tool for assessing whether Parties are on track to meet their mitigation commitments and can help Parties take early corrective action. The current UNFCCC reporting guidelines on NCs stipulate that Parties provide their projected estimates of GHG emissions ‘without measures’, ‘with measures’ and ‘with additional measures’, in relation to actual inventory data per sector and gas along with the aggregated effects of the policies and measures included in their analysis. A description of the underpinning methodologies, key variables and assumptions is also required.

2. Views expressed by Parties

58. One Party noted the similarity in the reporting requirements on projections between NCs and BRs, despite the fact that NCs seem to require more detailed information on the projection methodologies.

59. A group of Parties noted that the section on projections in the reporting guidelines on NCs is clearly outdated in terms of the projection years required and the gases covered. That group of Parties also noted the need for clarifying which historical data should be presented in table 2 of the reporting guidelines on NCs and requested that this data requirement be, in any case, limited to more recent years. Finally, this group of Parties highlighted the need to ensure the consistency of the sectoral definitions used for projections with those used for the GHG inventories, and it also requested that the consistency requirements with the sector categories used for policies and measures be deleted.

60. The same group of Parties stipulated that the sensitivity analysis requirement in the reporting guidelines on NCs focuses in particular on total GHG emissions and the requirement to describe relevant information on parameters varied and methods used.

3. Coherence/consistency with biennial reports

61. Overall, the existing reporting requirements on projected GHG emissions are fully consistent between the reporting guidelines on NCs and BRs. However, the reporting guidelines on NCs are outdated in terms of the years required for projections and could be updated to reflect the years requested in BRs (i.e. 2020 and 2030). In addition, a set of reporting tables has been devised along with the reporting guidelines on BRs (CTF tables 5 and 6(a–c)) reflecting the existing reporting requirements on projections, and these tables could be incorporated in the reporting guidelines on NCs.

62. As suggested in paragraph 33, it would be meaningful for Parties to set the scene for the contents of their NC report by also including in the national circumstances section information on their targets and the progress made in achieving them. However, as in the projections section, Parties are required to report on their projected emissions ‘with measures’ and ‘with additional measures’, it would be meaningful to request that Parties provide the actual CTF tables on progress towards the targets in this section. These tables (which contain among other things, information on the role of land use, land-use change and forestry (LULUCF), the use of market mechanisms and the accounting choices made by Parties) would help to put in perspective and better understand the projected emission trends of each Party. In addition, when seen in conjunction with the tables on projected emissions, these tables would provide a holistic view of the efforts by Parties to limit or decrease their emissions in accordance with their respective targets in a transparent and consistent manner.

4. Issues for further consideration and proposed changes

63. It is rather difficult to achieve consistency between the reported and the projected GHG emissions, among other things, due to the various methods and models used and the different points in time of updating each data set. In order to increase transparency and enhance the coherence of this data, Parties may wish to provide GHG emission projections that also include a number of past years so as to enable a direct comparison with the reported inventory data. Such a comparison could indicate whether the projections over- or underestimate future emission trends.

64. As also noted for the policies and measures section and highlighted in the submission of a group of Parties, currently the sectors used for reporting of GHG inventory information, of actual and projected emissions and for policies and measures are not consistent. Thus, a requirement could be added in this section of the UNFCCC reporting guidelines on NCs that Parties prepare a table demonstrating the linkages between the sectoral definitions used for each chapter of the NC.

65. There is currently a requirement in the reporting guidelines on NCs that Parties assess the aggregate effects of their mitigation-related policies and measures. In this section, Parties should be requested to clarify which policies and measures are included in which scenario and also to clearly identify the starting points for the three scenarios ('without measures', 'with measures' and 'with additional measures').

F. Vulnerability assessment, climate change impacts and adaptation measures

1. Background

66. Under the recent UNFCCC negotiations, Parties have emphasized that adaptation and mitigation need to be accorded the same level of importance. In addition to the long-standing Nairobi work programme on impacts, vulnerability and adaptation to climate change to facilitate knowledge support and stakeholder engagement on adaptation, there is now a landscape of work streams on adaptation under the Convention.

67. The current UNFCCC reporting guidelines on NCs request that Parties report on the expected impacts of climate change and an outline of the action taken to implement Article 4, paragraph 1(b) and (e)[of the Convention] with regard to adaptation as well as on specific results of scientific research in the field of vulnerability assessment and adaptation.

2. Views expressed by Parties

68. One group of Parties suggested that the following headlines and content be included under the part on vulnerability assessment, climate change impacts and adaptation measures so as to better reflect the adaptation cycle: (a) assessment of risks and vulnerability to climate change (key vulnerabilities or risks threatening economic, social, environmental and other development progress related to current and expected climate change impacts, including non-climate drivers of those risks); (b) climate change impacts (updated information on both observed and potential future impacts of climate change); (c) national adaptation policies and strategies (progress on adaptation policies, including laws, regulations, processes); (d) monitoring and evaluation framework (planned, developed or already implemented national approaches for monitoring and evaluation of adaptation strategies and programmes); (e) progress and outcomes of adaptation action (updated information on adaptation measures taken to address current risks and vulnerabilities and on their status of implementation, outcomes and effectiveness, as applicable).

69. The same group of Parties noted that when updating this section of the NC the results from other work programmes under the Convention related to MRV of adaptation and, where appropriate, from work external to the UNFCCC process could be taken into account. The group highlighted in particular that the references to the existing guidelines could be updated and references provided to new guidelines, such as the Global Programme of Research on Climate Change Vulnerability, Impacts and Adaptation (PROVIA) *Guidance on Assessing Vulnerability, Impacts and Adaptation to Climate Change*,⁴ the United Nations Development Programme document *Adaptation Policy Frameworks for Climate Change: Developing Strategies, Policies And Measures*,⁵ or other, even more recent publications or exemplary work done by Parties.

⁴ Available at

<http://www.unep.org/provia/Portals/24128/PROVIA_guidance_report_low_resolution.pdf>.

⁵ Available at <http://www.preventionweb.net/files/7995_APF.pdf>.

3. Coherence/consistency with biennial reports

70. There is no requirement in the UNFCCC reporting guidelines on BRs for Parties to report on their climate impacts, vulnerability and adaptation activities.

4. Issues for further consideration and proposed changes

General

71. In order to better reflect the very different nature of the information that is to be reported under this section of the NC as well as the institutional arrangements established by most Parties to address adaptation concerns, future NCs could be required to provide information on climate impacts and vulnerability separately from information on adaptation programmes and actions.

72. Climate change adaptation involves a variety of socioeconomic sectors, however, it is sometimes unclear which ministries, agencies and institutions have competence over which domains. Parties have been increasingly putting in place concrete institutional and legal frameworks to address and adapt to the adverse effects of climate change. As for mitigation, in an effort to enhance the clarity of the roles and responsibilities of all relevant parties (or entities) at the local, regional and national level, it would be informative if Parties were to report on such frameworks and structures through their NCs.

73. The reporting guidelines on NCs request that Parties report in this section on the specific results of scientific research in the field of vulnerability assessment and adaptation. However, as adaptation is becoming increasingly important and constitutes a major focus, along with mitigation, of many research programmes, it would help to provide a more comprehensive overview of a country's research efforts if, in the amended guidelines, such information were to be reported in the research and systematic observation section of the NC. This would not preclude referring in this section to certain research results (e.g. on a country's key vulnerabilities under a changing climate).

Climate impacts and vulnerability

74. Assessments of climate change impacts and vulnerability vary widely, depending on the subject (e.g. production system versus an economic activity), time frame (e.g. near or long term), region and area (e.g. a transboundary or a single site) and purpose of the assessment. In order to increase the completeness, transparency and comparability of the information reported by Parties, the reporting guidelines on NCs could be amended to request that Parties provide such information.

75. An important part of the transparency and comparability for the reporting on impacts and vulnerability is also related to the methodological framework and tools (e.g. top-down/scenario-driven versus bottom-up/vulnerability-oriented frameworks, process-based quantitative assessments versus statistical/empirical methods), and to the underlying data sources/assumptions (e.g. what climatic and socioeconomic scenarios have been used to assess impacts and vulnerability). Depending on the choices made on these aspects of the assessments, the resulting impacts and vulnerability (of communities and economic sectors) could vary widely even for the same country. Therefore, information on the underlying methods, tools, data and assumptions should also be an integral part of reporting on impacts and vulnerability by Parties.

Adaptation actions

76. Decision 2/CP.17 invited Parties to provide through their NCs, among other things, information on what measures they have undertaken relevant to the national adaptation plan process. This could include reporting on the existing national adaptation plans and/or

strategies, or those in preparation along with information on when such plans were developed or are expected to be developed, as well as their objectives.

77. Given the complexity and long-term nature of climate change, it is essential that adaptation be designed as a continuous and flexible process, including feedback through monitoring and evaluation. Informed by the evolving underlying science, the implementation of adaptation actions needs to be regularly monitored, evaluated and adjustments to existing strategies made as appropriate. Thus Parties should be requested to report on the monitoring and evaluation framework established for their adaptation actions.

78. In order to enhance the transparency and comparability of the information provided by Parties on their adaptation measures, Parties could, in particular, be required to report on the objectives, the method, scale and timeframe of implementation, the stakeholders involved and the amount of resources allocated for each measure. Information could also include pre-existing programmes, policies and measures that offer co-benefits to support adaptation.

79. Comparability and coherence of the information provided could also be enhanced through the provision of information in tabular format. The provision of information on vulnerability and adaptation in tabular format is already an integral part of the in-depth review reports of NCs, and provides useful and concise information. This table could now be replicated in the report guidelines on NCs, allowing Parties to provide, for each vulnerable area, a brief description of the risks and vulnerability, the expected impacts and the respective adaptation measure.

G. Financial resources and transfer of technology

1. Background

80. In accordance with Article 12, paragraph 3, of the Convention, Annex II Parties are required to provide details of measures taken to give effect to their commitments under Article 4, paragraphs 3, 4 and 5. Parties are also required to indicate what “new and additional” financial resources they have provided pursuant to Article 4, paragraph 3. Reporting on financial support provided and technology transfer has in the past been particularly problematic due to, among other things, lack of clarity on the data reported, resulting primarily from a lack of commonly agreed definitions and methodologies. The newly developed UNFCCC reporting guidelines on BRs have significantly enhanced current reporting by Parties on the support they provide, although inconsistencies due to the lack of commonly agreed definitions and methodologies still remain.

2. Views expressed by Parties

81. One Party noted that this section of the UNFCCC reporting guidelines on NCs is similar to that in the reporting guidelines on BRs, with some additional requirements provided for in the latter. This Party also noted that more detailed and elaborated CTF tables for reporting on financial resources and transfer of technology have been developed for BRs.

82. A group of Parties noted that requesting the same information in NCs and BRs, including harmonizing the tables, or clearly differentiating between the information that is to be reported in the NC regarding the BR, would enhance the transparency and consistency of the information provided, while also reducing the workload for the reporting services. The group cautioned, however, against giving Parties the flexibility to decide which information to present in the BR versus the NC, as this may result in a lack of transparency.

83. The same group of Parties considered that the transparency, comparability and consistency of reporting could be enhanced if information (e.g. on finance) were to be provided by all relevant Parties in the same report and if the CTF tables developed for BRs were combined with the qualitative information included in NCs.

84. The group of Parties also noted that there is a wide variety of indications and interpretations concerning “new and additional”, including on the baseline, to measure additionality among Parties. The group also highlighted the need to clarify the key terminology used in this section, for finding common definitions and parameters for reporting, and for synchronizing with other existing reporting systems, such as the Creditor Reporting System (CRS) developed by the Development Assistance Committee of the Organisation for Economic Co-operation and Development, as this would increase the transparency, accuracy, completeness, comparability and consistency of the reported information.

3. Coherence/consistency with biennial reports

85. The information requested in BRs on finance and technology transfer overlap to some degree with that reported in NCs. In particular, differences are observed in the area of capacity-building where the reporting guidelines on BRs request: (a) specific information on national approaches to track financial, technological and capacity-building support; (b) a description of the methodologies used in this respect; (c) information on private financial flows; (d) information on how the resources provided address the needs of non-Annex I Parties. Experience with the first BRs has demonstrated that the existing differences between the two sets of guidelines are responsible for a number of discrepancies in the information ultimately reported by Parties.

86. As the reporting guidelines on BRs reflect the latest views of Parties on the issue of reporting on support, such discrepancies could largely be resolved and consistency ensured if the reporting guidelines on BRs and NCs were aligned and the respective section in NC also split in three subchapters as in BRs: one on finance, one on technology transfer and one on capacity-building.

87. The set of tables elaborated under the BR could also replace the tables currently reported in NCs. However, with respect to CTF tables 8 and 9, one Party noted that there is no clear guidance on what was deemed “technology development and transfer support” and “capacity[-]building support”, leaving it to Parties to interpret. In order to make this reporting more meaningful for the purpose of consistency and comparability across country reports, that Party considered that it could be useful to discuss whether a standard workable definition or set of guidance notes could be developed for future reports.

88. The UNFCCC reporting guidelines on NCs could be amended to also request that Parties provide information on financial support, technology transfer and capacity-building (previously not included in NCs) thereby ensuring consistency with the reporting guidelines on BRs. Parties could then decide whether they will replicate the same information in both reports or simply cross-reference the required information.

4. Issues for further consideration and proposed changes

89. As noted by many Parties and identified through the reviews of NCs, one of the main reasons of the inconsistencies observed in reporting by Parties is the different definitions and methods used. As work is ongoing with regards to these specific issues, it would at least be meaningful to enhance the transparency of the reported information by requesting that Parties clearly specify the definitions and methods used for estimating the financial resources provided.

90. In an effort to increase the transparency of the information reported by Parties and to gather valuable experiences to better inform the various work streams on finance, it could be helpful to request that Parties also describe in their NCs the challenges, barriers and constraints in effectively and efficiently reporting on financial support and technology transfer.

H. Research and systematic observation

1. Background

91. Pursuant to Article 4, paragraphs 1(g) and (h) and 5 and Article 12, paragraph 1(b) of the Convention, Annex I Parties are required to communicate information on their actions relating to research and systematic observation which are essential in meeting the needs of the Convention. Information on global and regional changes in the climate system and actual impacts as experienced on the ground is not only needed to assess the adequacy of the long-term goal of the Convention but also to enhance adaptive capacity. The IPCC has been playing a central role in this respect. However, results and scientific findings from national, regional and international climate change research programmes and organizations are available to complement the regular assessments prepared by the IPCC.

92. This section of the UNFCCC reporting guidelines on NCs is divided in two distinct parts: one focusing on research and the other focusing on systematic observation. On systematic observation, Parties are also required to submit separate detailed technical reports on systematic observations in conjunction with their NCs, based on the “UNFCCC reporting guidelines on global climate observing systems”.⁶

2. Views expressed by Parties

93. One group of Parties noted that as the reporting on systematic observation in the national communications is guided by the detailed “UNFCCC reporting guidelines on global climate observing systems”, it should be discussed and clarified what information should be included in the NC compared to the separate reports on systematic observations.

94. Concerning research, the same group of Parties noted that in order to improve the usefulness of the reports and comparability across countries, the scope of the information to be provided in this section should be further clarified and streamlined. This group of Parties noted its preference for having research addressed only in this section, with all other references to research in the reporting guidelines on NCs being deleted.

3. Coherence/consistency with biennial reports

95. There is no requirement in the UNFCCC reporting guidelines on BRs for Parties to report on research and systematic observation.

4. Issues for further consideration and proposed changes

General

96. The existing reporting guidelines on NCs contain a provision for Parties to report on their related capacity-building activities. In order to ensure the transparency, comparability and completeness of the reported information, this could be more meaningfully presented in the finance section of the NC, while this part of the report could remain focused on the scientific aspects of climate change-related work.

⁶ Decisions 4/CP.5, 5/CP.5 and 11/CP.13.

97. The areas of research and systematic observation are two areas where international as well as domestic action is of paramount importance, along with close collaboration among Parties. However, the existing reporting guidelines on NCs do not contain any provisions requesting Parties to provide information on how they engage other institutions (in particular from developing countries) in collaborative actions, how they ensure a multidisciplinary approach, how they enhance and coordinate climate research and how they enhance capacity in the area of climate monitoring and data management (monitoring, digitizing, archiving). In accordance also with decision 9/CP.11, which urges Parties to continue and further strengthen the engagement of national and regional research institutions from developing countries in cooperative climate change research activities, the reporting guidelines on NCs could be amended to include such provisions.

Research

98. Decision 9/CP.11 requests that Parties identify research needs and priorities to support the implementation of the Convention as well as national efforts to cope with climate change; thus such a requirement could be added to the revised reporting guidelines on NCs.

99. As mentioned in paragraph 73 above, one area where the information reported needs to be enhanced is adaptation. In this section of the NC, Parties could be requested to specifically report on national research programmes, activities and databases that address climate change adaptation, vulnerabilities and risk assessments and to identify links to these programmes and databases, as well as to expand the reporting to not only cover research and development on mitigation and adaptation technologies. Parties could report on the actual content and results of such programmes in the section on vulnerability and adaptation in order to avoid duplication.

Systematic observation

100. By decision 11/CP.13 on reporting on global observing systems for climate, the COP adopted revised “UNFCCC reporting guidelines on global climate change observing systems” and decided that these revised guidelines should take effect for the preparation of detailed technical reports on systematic observation. Decision 11/CP.13 further requested Annex I Parties to continue providing such reports in conjunction with their NCs. At the same time, summary information on this matter is to be provided in the NC itself. Current reporting by Parties varies greatly, with some Parties providing this information as a separate report, others as a comprehensive annex to the NC, and others include all information on systematic observation directly in the NC. In order to ensure the consistency and comprehensiveness of reporting, Parties should clarify which information from the reports on systematic observations, if any, and to what extent, should also be replicated in the NC.

101. The SBSTA encouraged Parties, when providing information in their detailed technical reports on systematic observations provided in conjunction with their NCs,⁷ to take into consideration the new requirements identified in the 2010 updated Global Climate Observing System (GCOS) implementation plan, in particular the new essential climate variables. The SBSTA noted that any future revision of relevant UNFCCC reporting guidelines, in particular those on systematic observations, should take into account the new elements identified in that plan.⁸ These new elements are currently not captured, as such, in the reporting guidelines on NCs. Thus the guidelines could be updated to address this.⁹

⁷ See decision 11/CP.13, by which the revised “UNFCCC reporting guidelines on global climate change observing systems” were adopted.

⁸ FCCC/SBSTA/2010/13, paragraph 44.

⁹ The GCOS is planning to provide an update report on the adequacy of the global climate observing

5. Future developments

102. The SBSTA receives at regular intervals from the GCOS secretariat reports on the adequacy and implementation of the global observing systems for climate, and related status and progress information. Following the World Meteorological Organization *Second Report on the Adequacy of the Global Observing Systems for Climate in Support of the UNFCCC*¹⁰ (Second Adequacy Report), the GCOS will prepare a Third Adequacy Report, to be provided to SBSTA 43 and COP 21, followed by a new GCOS implementation plan, to be published in 2016, a draft of which will also be available by SBSTA 43/COP 21. These reports and assessments will examine how the data and information needs for addressing climate change are being met, including for adaptation and climate services, and will identify new requirements. Flexibility should be allowed in the reporting guidelines on NCs for addressing such new requirements, *mutatis mutandis*, arising from the availability and consideration of this additional information under the SBSTA.

I. Education, training and public awareness

1. Background

103. In accordance with Article 4, paragraphs 1(i) and 6 and Article 12, paragraph 1(b) of the Convention, Annex I Parties are requested to communicate information on their actions relating to education, training and public awareness. The current requirements are limited to certain activities and policies implemented. Since the adoption of the UNFCCC reporting guidelines on NCs, there have been a number of developments in the area of education, training and awareness raising. To address the challenges of communicating, teaching and learning about climate change, Parties adopted in 2002 the New Delhi work programme on Article 6 of the Convention (decision 11/CP.8). This programme was subsequently amended and renewed for another five years (decision 9/CP.13). The amended New Delhi work programme differed from its predecessor in the scope and implementation chapters; it also requested the preparation of a national action plan on Article 6 and the strengthening of regional and international efforts in support of the implementation of Article 6. The Doha work programme on Article 6 of the Convention was adopted with decision 15/CP.18. This decision reaffirmed, among other things, the importance of Article 6 of the Convention for achieving the ultimate objective of the Convention and for the effective implementation of adaptation and mitigation actions.

2. Views expressed by Parties

104. One group of Parties noted that the information required by the UNFCCC reporting guidelines on NCs regarding reporting on education, training and public awareness should be revised to comprise the following elements: (a) monitoring and review of the implementation of Article 6 of the Convention (e.g. results of “knowledge attitude practice/behaviour” surveys or other surveys that are carried out and information on promotion of best practice); (b) information on funding received for the implementation of Article 6 and, where available, on the costs of Article 6 implementation activities, in particular major initiatives; (c) the priority thematic areas and target audiences (d) challenges in the implementation of Article 6; (e) evaluation of the impacts of these activities; and (f) implementation of public participation.

systems in 2015 and a new implementation plan in 2016 (FCCC/SBSTA/2012/5, paragraph 37).

These may contain further information, including developments on essential climate variables, which may be of relevance for national reporting by Parties.

¹⁰ Available at <http://www.wmo.int/pages/prog/gcos/Publications/gcos-82_2AR.pdf>.

3. Coherence/consistency with biennial reports

105. There is no requirement in the UNFCCC reporting guidelines on BRs for Parties to report on education, training and public awareness.

4. Issues for further consideration and proposed changes

106. The Doha work programme requests that all Parties report in their NCs on activities and policies implementing Article 6 of the Convention as well as on their accomplishments, lessons learned, experiences gained and remaining challenges and opportunities, noting that the six elements (education, training, public awareness, public participation, public access to information, international cooperation) of Article 6 provide a useful guide for this reporting. The revised reporting guidelines on NCs could be structured along these six elements and Parties could be requested to provide information on their experiences with the implementation of Article 6.

107. Decision 15/CP.18 invited Parties to submit information (as part of their NCs, where appropriate) on their efforts and steps taken to implement the Doha work programme and to share their experiences and best practices for the purpose of reviewing the programme in 2016 and 2020. This requirement should be reflected in the revised reporting guidelines on NCs.

5. Future developments

108. In accordance with decision 15/CP.18, the Doha work programme will be reviewed in 2020, with an intermediate review of progress in 2016, to evaluate its effectiveness, identify any emerging gaps and needs, and to inform any decisions on improving the effectiveness of the work programme, as appropriate. The reporting guidelines on NCs could maintain a certain degree of flexibility in order to reflect any changes that might result from this review exercise.

Annex

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

I. INTRODUCTION

A. Objectives

1. The objectives of these guidelines for preparing the national communication are:

- (a) To assist Annex I Parties in meeting their commitments under Articles 4 and 12 of the Convention;
- (b) To promote the provision of consistent, transparent, comparable, accurate and complete information in order to enable a thorough review and assessment of the implementation of the Convention by the Parties, and to monitor the progress Annex I Parties are making towards meeting the goals of the Convention; and
- (c) To assist the Conference of the Parties (COP) to carry out its responsibilities to review the implementation of the Convention pursuant to Article 7.2(a) and the adequacy of the commitments in Article 4.2(a) and (b) in accordance with Article 4.2(d).

B. Structure

Option 1 (paragraphs 2-6):

2. The information identified in these guidelines shall be communicated by a Party in a single document, ~~500 copies of which should be submitted to the COP through the, and shall be (EU, NZ)~~ in one of the official languages of the United Nations. **Parties shall provide an electronic version of their national communication to the secretariat via the UNFCCC portal.** (NZ) ~~Parties may include a reference to a national focal point and/or web site where additional copies may be obtained. (NZ)~~ The length of a national communication may be decided by the submitting Party but every effort shall be made to avoid over-lengthy national communications, ~~in order to reduce the paper burden and to (NZ)~~ facilitate the consideration process. ~~Parties shall also provide an electronic version of their national communication to the secretariat. (NZ)~~

3. Annex I Parties should also submit to the secretariat, where relevant, a translation of their national communication into English.

4. Parties should provide references to additional relevant background information in an annex to the national communication. ~~Parties should also provide this information and other relevant~~

~~background information to the secretariat on its request, preferably in English, or another official language of the United Nations.~~ (EU)

5. To facilitate transparency, comparability and consistency of national communications, Parties shall structure their national communication following the **chapter** (USA) outline contained in the annex to these guidelines. To ensure completeness, no mandatory element shall be excluded. If mandatory elements cannot be reported for any reason, Parties shall explain the omission or the reason for partial reporting in the section relating to that element.

6. Where statistical data are provided they should be accompanied by a definition of terms, unless they are obvious.

6bis. Where supplementary documents are provided as appendices to the national communication, the information in that document need not be treated in detail in the national communication itself. (USA)

Option 2: EU Proposal: Part B «Structure» should be moved to the end of these guidelines. Also, add a paragraph on the general relationship between BRs and NCs should be added to this section.

II. EXECUTIVE SUMMARY

7. A national communication shall include an executive summary that summarizes the information and data from the full document. The executive summary shall be of no more than 15 pages.

III. NATIONAL CIRCUMSTANCES RELEVANT TO GREENHOUSE GAS EMISSIONS AND REMOVALS, RELEVANT MITIGATION AND ADAPTATION ACTIONS, AND QUANTIFIED ECONOMY-WIDE EMISSION REDUCTION (QEWER) TARGET (secretariat)

A. Purpose

7bis: The primary objective of the national circumstances section of the national communication is to provide a general context for understanding Parties' overall emissions, emission trends, and choices of mitigation and adaptation actions. Detailed sector and policy specific information should be included in the relevant chapters of the national communication. (secretariat)

7ter: Parties may also provide in this section a description of the challenges, barriers and constraints in effectively and efficiently addressing climate change. (secretariat)

B. National circumstances relevant to greenhouse gas emissions and removals, mitigation and adaptation actions (secretariat)

8. Parties shall provide a description of their national circumstances, how national circumstances affect greenhouse gas (GHG) emissions and removals, ~~and~~ how national circumstances and changes in national circumstances affect greenhouse gas emissions and removals over time **as well as how they affect their choice of mitigation and adaptation actions.** (secretariat) Parties should provide

information about how their national circumstances are relevant to factors affecting greenhouse gas emissions and removals, including disaggregated indicators, to explain the relationship between national circumstances and emissions or removals. Parties may provide whatever information best describes their own national circumstances and historic trends. However, to improve comparability and consistency (secretariat) of national communications, the following headings and respective indicators (secretariat) are recommended:

- (a) Government structure: for example, roles and responsibilities of different levels of government;
- (b) Population profile: for example, total population, density and distribution, rate of population growth (secretariat);
- ~~(c) Geographic profile: for example, area, latitude, land use and ecosystems; (EU)~~
- ~~(d) Climate profile: for example, temperature distribution, annual temperature variations, precipitation distribution, climate variability and extreme events (EU);~~
- ~~(e)~~ (c) Economic profile: for example, gross domestic product (GDP) and its structure (secretariat), GDP per capita (expressed in domestic currency and purchasing parities), GDP by sector, rate of GDP growth (secretariat), international trade patterns;
- ~~(e)~~ (EU) (d) Geographic profile: for example, area, latitude, land-use and ecosystems;
- ~~(d)~~ (EU) (e) Climate profile: for example, temperature distribution, annual temperature variations, precipitation distribution, climate variability and extreme events heating degree days (secretariat);
- (f) Energy (by fuel types where appropriate): for example, energy resource base, production, total primary energy supply and total final energy consumption, share of renewable energy in the final energy consumption (secretariat), market structure, prices, taxes, subsidies, trade;
- (g) Transportation: for example, modes (passenger and freight), travel distances, fleet characteristics;
- (h) Industry: for example, structure, value added, production (secretariat);
- (i) Waste: for example, waste sources, management practices (disposal, recycling), general waste produced per capita per year (secretariat);
- (j) Building stock and urban structure: for example, profile of residential and commercial buildings, green space ratio (secretariat);
- (k) Agriculture: for example, structure, management practices, production, area (secretariat);

(l) Forest: for example, types, management practices, area (secretariat);

(m) Other circumstances.

C. Quantified economy-wide emission reduction target (8bis - 8quinquies, secretariat)

8bis: Each Annex I Party shall describe its quantified economy-wide emission reduction target, including any conditions or assumptions that are relevant to the attainment of that target, as communicated to the secretariat and contained in document FCCC/SB/2011/INF.1/Rev.1 or any update to that document. Each Annex I Party should also provide Tables 1(a-f).

8ter: The description of the Party's economy-wide emission reduction target shall include the following information, taking into consideration any relevant decisions of the Conference of the Parties (COP):

(a) Base year;

(b) Gases and sectors covered;

(c) Global warming potential values as established by the relevant decisions adopted by the COP;

(d) Approach to counting emissions and removals from the land use, land-use change and forestry (LULUCF) sector, taking into consideration any relevant decisions adopted by the COP;

(e) Use of international market-based mechanisms in achieving its emission reduction target, taking into consideration any relevant decisions adopted by the COP, including a description of each source of international units and/or allowances from market based mechanisms and the possible scale of the contributions of each;

(f) Any other information, including relevant accounting rules, taking into consideration any relevant decisions of the COP, where appropriate.

D. Estimates of emission reductions and removals and the use of units from the market-based mechanisms and land use, land-use change and forestry activities

8quater. For the base year, information reported on the emission reduction target shall include the following:

(a) Total GHG emissions, excluding emissions and removals from the LULUCF sector;

(b) Emissions and/or removals from the LULUCF sector based on the accounting approach applied taking into consideration any relevant decisions of the COP and the activities and/or lands that will be accounted for;

(c) Total GHG emissions, including emissions and removals from the LULUCF sector;

8quinquies. For each reported year, information reported on progress made towards the emission reduction targets shall include, in addition to the information noted in paragraph 8quater (a–c) above, information on the use of units from market-based mechanisms.

EU Proposal: The guidance should be expanded to cover such situations where Parties have adopted more targets than the one contained in document FCCC/SB/2011/INF.1/Rev.1.

Placeholder: proposed text by the EU

Flexibility in accordance with Article 4.6 and 4.10

9. Parties requesting flexibility or consideration, in accordance with Article 4.6 and 4.10 of the Convention, shall state the type of special consideration they are seeking and provide a full explanation of their circumstances.

Table 1 (a) (secretariat)

Description of quantified economy-wide emission reduction target: base year^a

<i>Party</i>	<i>Demo</i>	
Base year /base period		
Emission reduction target	% of base year/base period	% of 1990 ^b
Period for reaching target	BY-2020	

^a Reporting by a developed country Party on the information specified in the common tabular format does not prejudice the position of other Parties with regard to the treatment of units from market-based mechanisms under the Convention or other market-based mechanisms towards achievement of quantified economy-wide emission reduction targets.

^b Optional.

Table 1 (b) (secretariat)

Description of quantified economy-wide emission reduction target: gases and sectors covered^a

<i>Gases covered</i>		<i>Base year for each gas (year):</i>
CO ₂		
CH ₄		
N ₂ O		
HFCs		
PFCs		
SF ₆		
NF ₃		
Other Gases (specify)		
Sectors covered ^b	Energy	Yes
	Transport ^f	Yes
	Industrial processes ^g	Yes
	Agriculture	Yes
	LULUCF	Yes
	Waste	Yes
	Other Sectors (specify)	

Abbreviations: LULUCF = land use, land-use change and forestry.

^a Reporting by a developed country Party on the information specified in the common tabular format does not prejudice the position of other Parties with regard to the treatment of units from market-based mechanisms under the Convention or other market-based mechanisms towards achievement of quantified economy-wide emission reduction targets.

^b More than one selection will be allowed. If Parties use sectors other than those indicated above, the explanation of how these sectors relate to the sectors defined by the IPCC should be provided.

^f Transport is reported as a subsector of the energy sector.

^g Industrial processes refer to the industrial processes and solvent and other product use sectors.

Table 1 (c) (secretariat)

Description of quantified economy-wide emission reduction target: global warming potential values (GWP)^a

<i>Gases</i>	<i>GWP values^b</i>
CO ₂	
CH ₄	
N ₂ O	
HFCs	

PFCs	
SF ₆	
NF ₃	
Other Gases (specify)	

Abbreviations: GWP = global warming potential

^a Reporting by a developed country Party on the information specified in the common tabular format does not prejudge the position of other Parties with regard to the treatment of units from market-based mechanisms under the Convention or other market-based mechanisms towards achievement of quantified economy-wide emission reduction targets.

^b Please specify the reference for the GWP: Second Assessment Report of the Intergovernmental Panel on Climate Change (IPCC) or the Fourth Assessment Report of the IPCC.

Table 1 (d) (secretariat)

Description of quantified economy-wide emission reduction target: approach to counting emissions and removals from the LULUCF sector^a

Role of LULUCF	LULUCF in base year level and target	Included
	Contribution of LULUCF is calculated using	

Abbreviation: LULUCF = land use, land-use change and forestry.

^a Reporting by a developed country Party on the information specified in the common tabular format does not prejudice the position of other Parties with regard to the treatment of units from market-based mechanisms under the Convention or other market-based mechanisms towards achievement of quantified economy-wide emission reduction targets.

Table 1 (e)I (secretariat)

Description of quantified economy-wide emission reduction target: market-based mechanisms under the Convention^a

<i>Market-based mechanisms under the Convention</i>	<i>Possible scale of contributions (estimated kt CO₂ eq)</i>
CERs	
ERUs	
AAUs ⁱ	
Carry-over units ^j	
Other mechanism units under the Convention (specify) ^d	

Abbreviations: AAU = assigned amount unit, CER = certified emission reduction, ERU = emission reduction unit.

^a Reporting by a developed country Party on the information specified in the common tabular format does not prejudice the position of other Parties with regard to the treatment of units from market-based mechanisms under the Convention or other market-based mechanisms towards achievement of quantified economy-wide emission reduction targets.

^d As indicated in paragraph 5(e) of the guidelines contained in annex I of decision 2/CP.17 .

ⁱ AAUs issued to or purchased by a Party.

^j Units carried over from the first to the second commitment periods of the Kyoto Protocol, as described in decision 13/CMP.1 and consistent with decision 1/CMP.8.

Table 1 (e)II (secretariat)

Description of quantified economy-wide emission reduction target: other market-based mechanisms^a

<i>Other market-based mechanisms</i>	<i>Possible scale of contributions</i>
<i>(Specify)</i>	<i>(estimated kt CO₂ eq)</i>

^a Reporting by a developed country Party on the information specified in the common tabular format does not prejudice the position of other Parties with regard to the treatment of units from market-based mechanisms under the Convention or other market-based mechanisms towards achievement of quantified economy-wide emission reduction targets.

Table 1 (f) (secretariat)

Description of quantified economy-wide emission reduction target: any other information^{a,b}

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^a Reporting by a developed country Party on the information specified in the common tabular format does not prejudice the position of other Parties with regard to the treatment of units from market-based mechanisms under the Convention or other market-based mechanisms towards achievement of quantified economy-wide emission reduction targets.

^b This information could include information on the domestic legal status of the target or the total assigned amount of emission units for the period for reaching a target. Some of this information is presented in the narrative part of the biennial report.

Custom Footnotes

IV. GREENHOUSE GAS INVENTORY INFORMATION

A. Summary tables

10. Summary information from the national greenhouse gas inventory on emissions and emission trends (secretariat) prepared according to [part I of these guidelines] [Decision 24/CP.19](USA) [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”(hereinafter referred to as the UNFCCC Annex I inventory reporting guidelines)] (secretariat) shall be [provided] [in the national communication.] (USA) [prepared] (secretariat) for the period from 1990 ~~(or other base year)~~ (secretariat) [to the last but [one] [two] (EU) year[s] prior to the year of submission of the national communication (e.g. inventory information up to the year 1999 shall be provided in the third national communication to be submitted by 30 November 2001)] [to the latest year in the most recent annual inventory submission available] (NZ). This information should cover the base year, the most recent 10 years and any previous years since the base year ending with 0 or 5 (1990, 1995, 2000, etc.) (USA) The information provided in the national communication report (secretariat) should be consistent with that provided in the most recent (NZ) annual inventory information (NZ) submission [of the year in which the national communication is submitted] [available] (NZ) [of the year prior to the submission of the national communication] (USA), and any differences should be fully explained.

11. **Option 1:** For the purpose of the national communication, complete inventory information need not be provided. However, at a minimum, Parties shall [report the summary, including carbon dioxide (CO₂) equivalent and emissions trend tables given in the common reporting format contained in the above-mentioned guidelines] [complete Table 2] (secretariat). [These tables] [This table] (secretariat) may be provided as an annex, as part of the national communication rather than in the main text.

Table 2: Insert CTF Table 1 ¹(secretariat)

Option 2: Delete paragraph 11 (EU)

EU proposal: As it is unnecessary to duplicate the same information in the biennial report and the national communication, the CRF tables of emissions and trends should be primarily an element of the biennial report.

B. Descriptive summary

12. In the main text of the national communication, Parties should provide a descriptive summary and should provide diagrams for [the GHGs reported in the summary tables, in accordance with paragraph 11 above] [GHG emissions and emission trends reported in Table 1 that underpin their mitigation actions]. (secretariat) Parties should provide a description of the factors underlying [emission trends] [their emissions and emission trends further elaborating on, but not replicating, the information provided in the national circumstances chapter.] (secretariat)

¹ Here or as an annex to the national communication

C. National inventory arrangements (EU)

EU Proposal: Only a short summary of the description of national inventory arrangements should be included in the national communications.

V. POLICIES AND MEASURES

A. Selection of policies and measures for the national communication

13. In accordance with Article 12.2, Annex I Parties shall communicate information on policies and measures adopted to implement commitments under Article 4.2(a) and (b). These need not have the limitation and reduction of GHG emissions **and enhancement of** (NZ) removals as a primary objective.

14. In reporting, Parties should give priority to policies and measures, or combinations of policies and measures, which have the most significant impact in affecting GHG emissions and removals **including those they have implemented or plan to implement since their last national communication or biennial report to achieve their individual economy-wide emission reduction target (s).** (secretariat) [and] Parties may also indicate those **policies and measures** (secretariat) which are innovative and/or effectively replicable by other Parties. Parties may report on adopted policies and measures and those in the planning stage, but should clearly distinguish these from implemented policies and measures throughout. The national communication does not have to report every policy and measure which affects GHG emissions.

15. Policies and measures reported on should be those planned (**options under discussion and having a realistic chance of being adopted and implemented in future**) (EU), adopted (**those for which an official government decision has been made and there is a clear commitment to proceed with implementation**) (EU) and/or implemented (**those for which one or more of the following applies: (a) national legislation is in force; (b) one or more voluntary agreements have been established; (c) financial resources have been allocated; (d) human resources have been mobilized**) (EU) by governments at national, state, provincial, regional and local level. Furthermore, policies and measures reported may also include those adopted in the context of regional or international efforts. ~~Policies and measures influencing international transport GHG emissions should be reported in the transport sector.~~ (EU)

16. Parties should report on action taken to implement commitments under Article 4.2(e)(ii) of the Convention, which requires that Parties identify and periodically update their own policies and practices which encourage activities that lead to greater levels of anthropogenic GHG emissions than would otherwise occur. Parties should also provide the rationale for such actions in the context of their national communications.

B. Structure of the policies and measures section of the national communication

17. Parties shall organize the reporting of policies and measures by sectors, [subdivided by] **[indicating which]** (EU) greenhouse gas (carbon dioxide, methane, nitrous oxide,

hydrofluorocarbons, perfluorocarbons, sulphur hexafluoride, nitrogen trifluoride (EU, Japan, NZ, USA). To the extent appropriate, the following sectors should be considered: energy, transport, industry/industrial processes (EU, Japan, NZ, USA), agriculture, forestry/LULUCF (EU, Japan, NZ, USA) and waste management/waste (EU, Japan, NZ, USA). Each sector shall have its own textual description of the principal policies and measures, as set out in section D below, supplemented by table [1] [3]. Parties may include separate text and a table describing cross-sectoral policies and measures.

18. In cases where a policy or measure has been maintained over time and is thoroughly described in the Party's previous national communication and/or biennial report (EU), reference should be made to this and only a brief description contained in the latest national communication, focusing on any alterations to the policy or measure or effects achieved.

19. Some information such as the effect of policies and measures may be presented in aggregate for several complementary measures in a particular sector or affecting a particular gas.

19bis. Parties should provide information, e.g., a table or graph demonstrating how the sectors and subsectors used for their reporting of their policies and measures relate to the sectoral disaggregation used in the national GHG inventory and for the reporting on projections. (secretariat)

C. Policy-making process

20. **Option 1:** The national communication should describe the overall policy context, including any national targets for greenhouse gas mitigation. Strategies for sustainable development, low-carbon development strategies or other relevant long-term policy objectives may also be covered. The information presented in the national communication should be complementary to the information presented in the biennial report with relevant references provided, as applicable. ~~Relevant inter ministerial decision making processes or bodies may be noted.~~ (EU)

Option 2: Delete paragraph 20² (secretariat)

21. **Option 1:** The national communication should provide a description of the way in which progress with policies and measures to mitigate GHG emissions is monitored and evaluated over time. Institutional arrangements for monitoring of GHG mitigation policy should also be reported in this context.

Option 2: Parties shall provide information on changes in their domestic institutional arrangements, including institutional, legal, administrative and procedural arrangements used for domestic compliance, monitoring, reporting, archiving of information and evaluation of their policies and measures and of their progress towards their economy-wide emission reduction target. (secretariat)

² Information on targets is requested in the "National Circumstances" chapter

D. Policies and measures and their effects

EU Proposal: Paragraphs 22 and 23 should be revised in line with the similar requirement in the biennial reports.

Placeholder: proposed text by the EU

22. [The presentation of each policy and measure shall include information on each of the subject headings listed below.] **[Parties shall present information on each policy and measure using Table 3 below].** (secretariat) The presentation should be concise and should include information on the detail suggested after each subject heading:

(a) ~~Name and short description~~ (secretariat) *of the policy or measure;*

~~(b) Objectives of the policy or measure. The description of the objectives should focus on the key purposes and benefits of the policies and measures, including a description of activities and/or source and sink categories affected. Objectives should be described in quantitative terms, to the extent possible;—~~(secretariat)

[(b) Sector(s) affected; To the extent possible, the following sectors should be used: energy, transport, industry/industrial processes, agriculture, forestry/LULUCF, waste management/waste, other sectors, cross-cutting, as appropriate. The key emission sources within a particular sector targeted by each policy or measure should also be clearly identified;] (secretariat)

(c) *The greenhouse gas or gases affected;*

[(d)] Objectives of the policy or measure. The description of the objectives should focus on the key purposes and benefits of the policies and measures, including a description of activities and/or source and sink categories affected **[underlining whether the affected source or sink category is a “key category”]**. (secretariat) Objectives should be described in quantitative terms, to the extent possible;

~~(d)~~ **[(e)] Type or types of policy or measure.** Use, to the extent possible, the following terms: economic, fiscal, voluntary/negotiated agreements, regulatory, information, education, research, other;

~~(e)~~ **[(f)] Status of implementation.** It should be noted whether the policy or measure is **[expired]** (EU) in the planning stage or is adopted or whether it is under implementation. For adopted and implemented measures, additional information may include the funds already provided, future budget allocated and the time-frame for implementation;

[(g) Brief description of the policy or measure;] (secretariat)

[(h) Start year of implementation;] (secretariat)

~~(f)~~ **[(i)] Implementing entity or entities.** This should describe the role of national, state, provincial, regional and local government and the involvement of any other entities.

[(j) Estimate of mitigation impact (not cumulative) of the impacts of individual policies and measures or collections of policies and measures;] (secretariat)

23. [In addition, the description of each policy and measure reported should include, as appropriate, a quantitative estimate of the impacts of individual policies and measures or collections of policies and measures. Such information includes] **[In conjunction with the quantitative estimates of the impacts of their policies and measures, Parties should provide information on the]** (secretariat)

estimated changes in activity levels and/or emissions and removals due to adopted and implemented policies and measures reported and a brief description of estimation methods. Information should be presented as an estimate for a particular year **using the global warming potentials adopted by Decision 24/CP.19 (USA) [such as 1995, 2000 and 2005] [that is a multiple of five or ten following the latest available annual inventory year.] (NZ) [for a sequence of four future years ending with 0 or 5 immediately following the reporting year.] (EU) [The particular years should start from the most recent inventory year, and include subsequent years that end in either a 0 or a 5, extending at least 15 years from the latest inventory year.] (USA) [in 5-year intervals starting in 2020] (secretariat) , ~~not for a period of years.~~ (secretariat) In cases where this is not feasible, Parties should provide relevant explanations and should instead provide a quantitative estimate of the expected cumulative impact along with a graphical representation of how this is distributed over time. (secretariat)**

24. Parties may also provide information under the headings below for each policy and measure reported:

- (a) *Information about the costs of policies and measures.* Such information should be accompanied by a brief definition of the term ‘cost’ in this context;
- (b) *Information about non-GHG mitigation benefits of policies and measures.* Such benefits may include, for example, reduced emissions of other pollutants or health benefits;
- (c) *How the policy or measure interacts with other policies and measures at the national level.*

This may include a description of how policies complement each other in order to enhance overall greenhouse gas mitigation.

25. Parties shall provide information on how they believe their policies and measures are modifying longer-term trends in anthropogenic GHG emissions and removals consistent with the objective of the Convention.

USA proposal: The requirement of “longer-term trends” should be clarified as to the number or range of years past the reporting year. The revised guidelines should permit Parties to choose a representative year within the last four years instead of mandating a particular year within that period.

Placeholder: proposed text by the USA

E. Policies and measures no longer in place

26. When policies and measures listed in previous national communications are no longer in place, Parties may explain why this is so.

[Table 1. Summary of policies and measures by sector]

[Table [1] [3]: [Progress in achievement of the quantified economy-wide emission reduction target: information on mitigation actions and their effects] [Summary of policies and measures by sector] (EU, Japan, NZ, secretariat)

Name of [mitigation action]/[policy or measure] ^a (NZ)	Sector(s) affected ^b	GHG(s) affected	Objective and/or activity affected	Type of instrument ^c	Status of implementation ^d	Brief description ^e	Start year of implementation	Implementing entity or entities	Estimate of mitigation impact (not cumulative, in kt CO ₂ eq)	

Note: The two final columns specify the year identified by the Party for estimating impacts (based on the status of the measure and whether an ex post or ex ante estimation is available).

Abbreviations: GHG = greenhouse gas; LULUCF = land use, land-use change and forestry.

^a Parties should use an asterisk (*) to indicate that a [mitigation action] [policy or measure] (secretariat) is included in the ‘with measures’ projection.

^b To the extent possible, the following sectors should be used: energy, transport, industry/industrial processes, agriculture, forestry/LULUCF, waste management/waste, other sectors, cross-cutting, as appropriate.

^c To the extent possible, the following types of instrument should be used: economic, fiscal, voluntary agreement, regulatory, information, education, research, other.

^d To the extent possible, the following descriptive terms should be used to report on the status of implementation: implemented, adopted, planned.

^e Additional information may be provided on the cost of the mitigation actions and the relevant timescale.

^f Optional year or years deemed relevant by the Party.]

VI. PROJECTIONS AND THE TOTAL EFFECT OF POLICIES AND MEASURES

A. Purpose

27. The primary objective of the projections section of the national communication is to give an indication of future trends in GHG emissions and removals, given current national circumstances and implemented and adopted policies and measures, and to give an indication of the path of emissions and removals without such policies and measures.

B. Projections

28. At a minimum, Parties shall report a ‘with measures’ projection, in accordance with paragraph 29 and may report ‘without measures’ and ‘with additional measures’ projections.

29. A ‘**with measures**’ projection shall encompass currently implemented and adopted policies and measures. If provided, a ‘**with additional measures**’ projection also encompasses planned policies and measures. If provided, a ‘**without measures**’ projection excludes all policies and measures implemented, adopted or planned after the year chosen as the starting point for this projection. In reporting, Parties may entitle their ‘without measures’ projection as a ‘baseline’ or ‘reference’ projection, for example, if preferred, but should explain the nature of this projection. **In reporting, Parties should clearly specify which policies and measures are included in which scenario.** (secretariat)

30. Parties may report sensitivity analysis for any of the projections, but efforts should aim to [limit the number of scenarios presented] **[provide the results of a sensitivity analysis for the total reported GHG emissions along with all relevant information on the methodologies used and the parameters varied]**. (EU)

C. Presentation of projections relative to actual data

31. Emission projections shall be presented relative to actual inventory data for the preceding years.

32. **In reporting, Parties should clearly identify the starting point used for each of the scenarios provided.**(secretariat) For the ‘with measures’ and ‘with additional measures’ projections, the starting point should generally **precede** (secretariat) the latest year for which inventory data are available in the national communication. ~~For the ‘without measures’ projection, the starting point may be 1995, or~~ (NZ, secretariat) Parties may provide a ‘without measures’ projection starting from ~~an earlier year such as~~ (secretariat) 1990 or another base year, as appropriate.

EU Proposal: the years referred to as the starting point of projections in para 32 are outdated and should be revised. It may also not be necessary to indicate a specific starting point.

Placeholder: proposed text by the EU

33. Parties' reporting on GHG emission projections should not be limited to future years, but should also include a number of past years to enable the comparison with the observed emission trends. (secretariat) Parties may use 'normalized' data in making their projections. However, Parties should present their projections relative to unadjusted inventory data for the preceding years presented in the latest available annual submission (NZ). In addition, Parties may present their projections relative to adjusted inventory data. In this case, Parties shall explain the nature of the adjustments.

D. Coverage and presentation

34. Projections shall be presented on a sectoral basis [, to the extent possible, using the same sectoral categories used in the [policies and measures section.] [inventory.] (EU, USA)]. (secretariat) [Parties could make reference to the table (or graph) presented in the policies and measures chapter demonstrating how the sectors and subsectors used for the reporting of projections relate to the sectoral disaggregation used for the national GHG inventory and for the reporting on policies and measures.] (secretariat)

35. Projections shall be presented on a gas-by-gas basis for the following greenhouse gases: CO₂, CH₄, N₂O, PFCs, HFCs, and SF₆ and NF₃ (EU, NZ) (treating PFCs and HFCs collectively in each case). Parties may also provide projections of the indirect greenhouse gases carbon monoxide, nitrogen oxides and non-methane volatile organic compounds, as well as sulphur oxides. In addition, projections shall be provided in an aggregated format for each sector in accordance with the UNFCCC inventory reporting guidelines (EU) as well as for a national total, using global warming potential (GWP) values agreed upon by the Conference of the Parties. Parties should report on each projected scenario ('without measures', 'with measures', 'with additional measures' using Table 4.(secretariat)

36. To ensure consistency with inventory reporting, emissions projections related to fuel sold to ships and aircraft engaged in international transport shall, to the extent possible, be reported separately and not included in the totals.

EU Proposal: Wording in para 37 could be modified as it is currently not clear whether it entails the requirement to present a split per sector for each gas. The years for which projections are required in paragraphs 37, 38, 40 and 48 as well as in figure 1 need to be updated, in order to better capture the frequency of reporting; the mandatory years for projections could follow a dynamic approach.

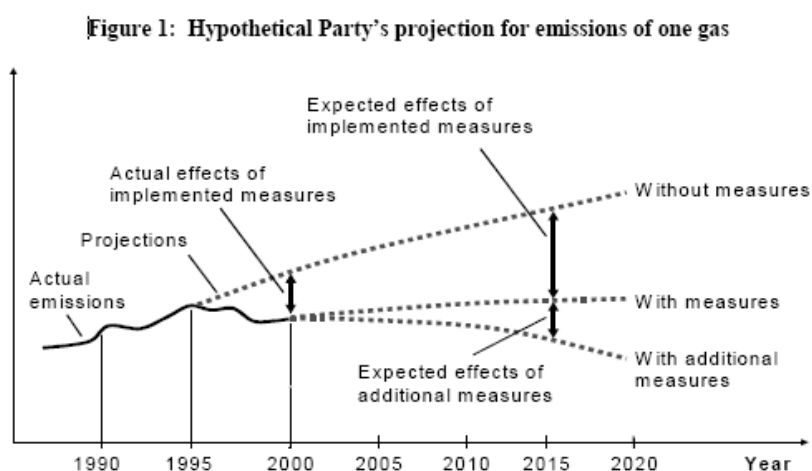
Placeholder: proposed text by the EU

37. In view of the objective of the Convention and the intent to modify longer-term trends in emissions and removals, Parties should include [projections] [historical emissions and removals information] (NZ) on a quantitative basis for the [[years 2005, 2010, 2015 and] 2020 [and 2030.] (secretariat)] (NZ, USA) [period 1990 or another base year, as appropriate) to the latest inventory year available. This information should be presented for the years 1990, 1995, 2000, 2005, 2010 and for the latest inventory year available. Projections should be presented for out years that are multiples of five and ten, consistent with UNFCCC biennial reporting guidelines for developed country Parties.] (NZ) [a sequence of four future years ending with 0 or 5 immediately following

the reporting year.] (EU) [starting from the most recent inventory year, and subsequent years that end in either a 0 or a 5, extending at least 15 years from the latest inventory year.] (USA) Projections should be presented in a tabular format by sector and subdivided by (EU) gas for each of these years, together with actual data for the period 1990 to 2000 or (secretariat) the latest year available. The tabular format used shall be consistent with Table 6 of the common tabular format for biennial reports (table 2 below). (NZ) For Parties using a base year different from 1990 for their inventories, in accordance with Article 4.6 of the Convention, actual data for that year shall be given.

38. Diagrams illustrating the information in paragraphs 34 to 37 should be presented showing unadjusted inventory data and a ‘with measures’ projection, for the period 1990 (or another base year, as appropriate) to [2020] [2030]. (NZ) [the most recent inventory year, and subsequent years that end in either a 0 or a 5, extending at least 15 years from the latest inventory year.] (USA) Additional diagrams may also be presented. Figure 1 illustrates the presentation of a hypothetical Party’s projection for a single gas. [[It shows unadjusted inventory data for the period 1990 to [2000] [the latest available year] (NZ) [2015]. (secretariat) It shows ‘with measures’ and ‘with additional measures’ scenarios starting from [2000] [the latest available year] (NZ) [2010] (secretariat), and a ‘without measures’ scenario³ starting from [1995] [2000/2005].](secretariat)] [It shows unadjusted inventory data for the period 1990 to 2000 including ‘with measures,’ ‘with additional measures,’ and ‘without measures’ scenarios.] (USA)

Figure 1 to be updated



³ The ‘without measures’ scenarios can be considered as the baseline scenario, as it includes effects of policies and measures which are additional to those included in the ‘with measures’ and ‘with additional measures’ scenarios. This also reflects practices in the reporting of projections.

E. Assessment of aggregate effects of policies and measures

39. The estimated and expected effects of individual policies are addressed in the policies and measures section of the national communication. In the projections section of the national communication, Parties shall present the estimated and expected total effect of implemented and adopted policies and measures and should also provide the information requested in Tables 5, 5(a-b) (secretariat) Parties may also present the total expected effect of planned policies and measures.

40. Parties shall provide an estimate of the total effect of their policies and measures, in accordance with the ‘with measures’ definition, compared to a situation without such policies and measures. This effect shall be presented in terms of GHG emissions avoided or sequestered, by gas (on a CO₂ equivalent basis), [in 1995 and 2000, and should also be presented for 2005, 2010, 2015 and 2020] [for a sequence of four future years ending with 0 or 5 immediately following the reporting year] (EU) [for every 5 years since 1995 and out to 2030] (NZ) [the most recent inventory year, and subsequent years that end in either a 0 or a 5, extending at least 20 years from the latest inventory year] (USA) [in 5-year intervals starting in 1995 until 2030] (secretariat) (not cumulative savings). This information may be presented in tabular format.

41. Parties may calculate the total effect of their measures by taking the difference between a ‘with measures’ and ‘without measures’ projection. Alternatively, Parties may use another approach, for example individually assessing the effect of each significant policy and measure, and aggregating the individual effects to arrive at a total. In either case, when reporting, it should be clear from what year onward it is assumed that policies are implemented or not implemented in making the calculations.

F. Methodology

42. When projecting greenhouse gas emissions and removals and estimating the total effects of policies and measures on emissions and removals, Parties may use any models and/or approaches they choose. Sufficient information should be reported in the national communication to allow a reader to obtain a basic understanding of such models and/or approaches.

43. In the interests of transparency, for each model or approach used, Parties should briefly:

- (a) Explain for which gases and/or sectors the model or approach was used;
- (b) Describe the type of model or approach used and its characteristics (for example, top-down model, bottom-up model, accounting model, expert judgment);
- (c) Describe the original purpose the model or approach was designed for and, if applicable, how it has been modified for climate change purposes;
- (d) Summarize the strengths and weaknesses of the model or approach used;
- (e) Explain how the model or approach used accounts for any overlap or synergies that may exist between different policies and measures.

44. Parties should provide references for more detailed information related to (a) to (e) above.

45. Parties should report the main differences in the assumptions, methods employed, and results between projections in the current national communication and those in earlier national communications.

46. The sensitivity of the projections to underlying assumptions should be discussed qualitatively and, where possible, quantitatively.

47. To ensure transparency, Parties should report information about key underlying assumptions and values of variables such as GDP growth, population growth, tax levels and international fuel prices, using table [3] [6] (EU, Japan, NZ, USA, secretariat). This information should be limited to that which is not covered under paragraph 48, i.e. it should not include sector-specific data.

Table 2. Summary of key variables and assumptions in the projections analysis

48. To provide the reader with an understanding of emission trends in the years 1990 to [2020] [2030] (NZ), Parties shall present relevant information on factors and activities for each sector. This information on factors and activities may be presented in tabular format.

[Table [2] [4] **Information on updated greenhouse gas projections under a ‘without measures’/‘with measures’/ ‘with additional measures’ scenario^a** (EU, Japan, NZ, USA, secretariat)

	<i>GHG emissions and removals^b</i>							GHG emission projections	
	<i>(kt CO₂ eq)</i>							<i>(kt CO₂ eq)</i>	
	<i>Base Year</i>	1990	1995	2000	2005	2010	2011	2020	2030
<i>Sector^{d,e}</i>									
Energy									
Transport									
Industry/industrial processes									
Agriculture									
Forestry/LULUCF									
Waste management/waste									
Other (specify)									
<i>Gas</i>									
CO ₂ emissions including net CO ₂ from LULUCF									
CO ₂ emissions excluding net CO ₂ from LULUCF									
CH ₄ emissions including CH ₄ from LULUCF									
CH ₄ emissions excluding CH ₄ from LULUCF									
N ₂ O emissions including N ₂ O from LULUCF									
N ₂ O emissions excluding N ₂ O from LULUCF									
HFCs									
PFCs									
SF ₆									
Other (specify)									
Total with LULUCF^f									
Total without LULUCF									

Abbreviations: GHG = greenhouse gas, LULUCF = land use, land-use change and forestry.

^a ~~In accordance with the “Guidelines for the preparation of national communications by Parties included in Annex I to the Convention, Part II: UNFCCC reporting guidelines on national communications”, at a minimum Parties shall report a ‘with measures’ scenario, and may report ‘without measures’ and ‘with additional measures’ scenarios. If a Party chooses to report ‘without measures’ and/or ‘with additional measures’ scenarios they are to use tables 6(b) and/or 6(c), respectively. If a Party does not choose to report ‘without measures’ or ‘with additional measures’ scenarios then it should not include tables 6(b) or 6(c) in the biennial report. (secretariat)~~

^b Emissions and removals reported in these columns should be as reported in the latest GHG inventory and consistent with the emissions and removals reported in the table on GHG emissions and trends provided in this [biennial report]. [national communication] ~~Where the sectoral breakdown differs from that reported in the GHG inventory Parties should explain in their biennial report how the inventory sectors relate to the sectors reported in this table. (secretariat)~~

^c 20XX is the reporting due-date year [(i.e. 2014 for the first biennial report)]. (i.e. 2018 for the seventh national communication).

^d ~~In accordance with paragraph 34 of the “Guidelines for the preparation of national communications by Parties included in Annex I to the Convention, Part II: UNFCCC reporting guidelines on national communications”, projections shall be presented on a sectoral basis, to the extent possible, using the same sectoral categories used in the policies and measures section. This table should follow, to the extent possible, the same sectoral categories as those listed in paragraph 17 of those guidelines, namely, to the extent appropriate, the following sectors should be considered: energy, transport, industry, agriculture, forestry and waste management. (secretariat)~~

^e To the extent possible, the following sectors should be used: energy, transport, industry/industrial processes, agriculture, forestry/LULUCF, waste management/waste, other sectors (i.e. cross-cutting), as appropriate.

^f Parties may choose to report total emissions with or without LULUCF, as appropriate.

USA proposal: The CTF format could be amended to permit Parties to submit ranges for their projections. Submitting ranges can help Parties consider and communicate the uncertainty inherent in certain projections.

Table 5

Reporting on progress^{a, b}

	<i>Total emissions excluding LULUCF</i>	<i>Contribution from LULUCF^d</i>	<i>Quantity of units from market based mechanisms under the Convention</i>		<i>Quantity of units from other market based mechanisms</i>	
<i>Year^c</i>	<i>(kt CO₂ eq)</i>	<i>(kt CO₂ eq)</i>	<i>(number of units)</i>	<i>(kt CO₂ eq)</i>	<i>(number of units)</i>	<i>(kt CO₂ eq)</i>
Base year/base period						
20[10] [XX-1]						
20[11] [XX]						
20[12] [XX+1]						

Abbreviation: GHG = greenhouse gas, LULUCF = land use, land-use change and forestry.

^a Reporting by a developed country Party on the information specified in the common tabular format does not prejudice the position of other Parties with regard to the treatment of units from market-based mechanisms under the Convention or other market-based mechanisms towards achievement of quantified economy-wide emission reduction targets.

^b For the base year, information reported on the emission reduction target shall include the following: (a) total GHG emissions, excluding emissions and removals from the LULUCF sector; (b) emissions and/or removals from the LULUCF sector based on the accounting approach applied taking into consideration any relevant decisions of the Conference of the Parties and the activities and/or land that will be accounted for; (c) total GHG emissions, including emissions and removals from the LULUCF sector. For each reported year, information reported on progress made towards the emission reduction targets shall include, in addition to the information noted in paragraphs [9(a-c)] [8quater (a-c)] of [the UNFCCC biennial] [these] reporting guidelines for developed country Parties, information on the use of units from market-based mechanisms.

^c Parties may add additional rows for years other than those specified below.

^d Information in this column should be consistent with the information reported in table 4(a)I or 4(a)II, as appropriate. The Parties for which all relevant information on the LULUCF contribution is reported in table 1 of this common tabular format can refer to table 1.

Table 5(a)I

Progress in achieving the quantified economy-wide emission reduction targets – further information on mitigation actions relevant to the contribution of the land use, land-use change and forestry sector in 20[11] [XX]^{a,b}

	<i>Net GHG emissions/removals from LULUCF categories^c</i>	<i>Base year/period or reference level value^d</i>	<i>Contribution from LULUCF for reported year</i>	<i>Cumulative contribution from LULUCF^e</i>	<i>Accounting approach^f</i>
	<i>(kt CO₂ eq)</i>				
Total LULUCF					
A. Forest land					
1. Forest land remaining forest land					
2. Land converted to forest land					
3. Other ^g					
B. Cropland					
1. Cropland remaining cropland					
2. Land converted to cropland					
3. Other ^g					
C. Grassland					
1. Grassland remaining grassland					
2. Land converted to grassland					
3. Other ^g					
D. Wetlands					
1. Wetland remaining wetland					
2. Land converted to wetland					
3. Other ^g					
E. Settlements					
1. Settlements remaining settlements					
2. Land converted to settlements					
3. Other ^g					
F. Other land					

1. Other land remaining other land					
2. Land converted to other land					
3. Other ^g					
Harvested wood products					

Abbreviations: GHG = greenhouse gas, LULUCF = land use, land-use change and forestry.

^a Reporting by a developed country Party on the information specified in the common tabular format does not prejudice the position of other Parties with regard to the treatment of units from market-based mechanisms under the Convention or other market-based mechanisms towards achievement of quantified economy-wide emission reduction targets.

^b Parties that use the LULUCF approach that is based on table [1] [2] do not need to complete this table, but should indicate the approach in table [2] [1]. Parties should fill in a separate table for each year, [namely] [for example] 2011 and 2012, where 2014 is the reporting year.

^c For each category, enter the net emissions or removals reported in the most recent inventory submission for the corresponding inventory year. If a category differs from that used for the reporting under the Convention or its Kyoto Protocol, explain in the [biennial report] [national communication] how the value was derived.

^d Enter one reference level or base year/period value for each category. Explain in the [biennial report] [national communication] how these values have been calculated.

^e If applicable to the accounting approach chosen. Explain in this [biennial report] [national communication] to which years or period the cumulative contribution refers to.

^f Label each accounting approach and indicate where additional information is provided within this [biennial report] [national communication] explaining how it was implemented, including all relevant accounting parameters (i.e. natural disturbances, caps).

^g Specify what was used for the category “other”. Explain in this [biennial report] [national communication] how each was defined and how it relates to the categories used for reporting under the Convention or its Kyoto Protocol.

Table 5(a)I

Progress in achieving the quantified economy-wide emission reduction targets – further information on mitigation actions relevant to the contribution of the land use, land-use change and forestry sector in 20[12] [XX+1] ^{a, b}

	<i>Net GHG emissions/removals from LULUCF categories ^c</i>	<i>Base year/period or reference level value ^d</i>	<i>Contribution from LULUCF for reported year</i>	<i>Cumulative contribution from LULUCF ^e</i>	<i>Accounting approach ^f</i>
	<i>(kt CO₂ eq)</i>				
Total LULUCF					
A. Forest land					
1. Forest land remaining forest land					
2. Land converted to forest land					
3. Other ^g					
B. Cropland					
1. Cropland remaining cropland					
2. Land converted to cropland					
3. Other ^g					
C. Grassland					
1. Grassland remaining grassland					
2. Land converted to grassland					
3. Other ^g					
D. Wetlands					
1. Wetland remaining wetland					
2. Land converted to wetland					
3. Other ^g					
E. Settlements					
1. Settlements remaining settlements					
2. Land converted to settlements					
3. Other ^g					
F. Other land					

1. Other land remaining other land					
2. Land converted to other land					
3. Other ^g					
Harvested wood products					

Abbreviations: GHG = greenhouse gas, LULUCF = land use, land-use change and forestry.

Abbreviations: GHG = greenhouse gas, LULUCF = land use, land-use change and forestry.

^a Reporting by a developed country Party on the information specified in the common tabular format does not prejudice the position of other Parties with regard to the treatment of units from market-based mechanisms under the Convention or other market-based mechanisms towards achievement of quantified economy-wide emission reduction targets.

^b Parties that use the LULUCF approach that is based on table [1] [2] do not need to complete this table, but should indicate the approach in table [2] [1]. Parties should fill in a separate table for each year, [namely] [for example] 2011 and 2012, where 2014 is the reporting year.

^c For each category, enter the net emissions or removals reported in the most recent inventory submission for the corresponding inventory year. If a category differs from that used for the reporting under the Convention or its Kyoto Protocol, explain in the [biennial report] [national communication] how the value was derived.

^d Enter one reference level or base year/period value for each category. Explain in the [biennial report] [national communication] how these values have been calculated.

^e If applicable to the accounting approach chosen. Explain in this [biennial report] [national communication] to which years or period the cumulative contribution refers to.

Table 5(b)
Reporting on progress^{a, b, c}

<i>Units of market based mechanisms</i>		<i>Year</i>	
		<i>20[11][XX]</i>	<i>20[12] [XX+1]</i>
<i>Kyoto Protocol units^d</i>	<i>Kyoto Protocol units</i>	<i>(number of units)</i>	
		<i>(kt CO₂ eq)</i>	
	<i>AAUs</i>	<i>(number of units)</i>	
		<i>(kt CO₂ eq)</i>	
	<i>ERUs</i>	<i>(number of units)</i>	
		<i>(kt CO₂ eq)</i>	
	<i>CERs</i>	<i>(number of units)</i>	
		<i>(kt CO₂ eq)</i>	
	<i>tCERs</i>	<i>(number of units)</i>	
		<i>(kt CO₂ eq)</i>	
	<i>ICERs</i>	<i>(number of units)</i>	
		<i>(kt CO₂ eq)</i>	
<i>Other units^{d,e}</i>	<i>Units from market-based mechanisms under the Convention</i>	<i>(number of units)</i>	
		<i>(kt CO₂ eq)</i>	
	<i>Units from other market-based mechanisms</i>	<i>(number of units)</i>	
		<i>(kt CO₂ eq)</i>	
<i>Total</i>		<i>(number of units)</i>	
		<i>(kt CO₂ eq)</i>	

Abbreviations: AAUs = assigned amount units, CERs = certified emission reductions, ERUs = emission reduction units, ICERs = long-term certified emission reductions, tCERs = temporary certified emission reductions.

Note: 20[11] [XX] is the latest reporting year.

^a Reporting by a developed country Party on the information specified in the common tabular format does not prejudice the position of other Parties with regard to the treatment of units from market-based mechanisms under the Convention or other market-based mechanisms towards achievement of quantified economy-wide emission reduction targets.

^b For each reported year, information reported on progress made towards the emission reduction target shall include, in addition to the information noted in paragraphs 9(a–c)] [8quater (a-c)] of [these] reporting guidelines, on the use of units from market-based mechanisms.

^c Parties may include this information, as appropriate and if relevant to their target.

^d Units surrendered by that Party for that year that have not been previously surrendered by that or any other Party.

^e Additional rows for each market-based mechanism should be added, if applicable.

EU proposal: Reduce number of historic years in the table for key parameters.

Table [3] [6] **Summary of key variables and assumptions used in the projections analysis^a** (EU, Japan, NZ, USA, secretariat)

<i>Key underlying assumptions</i>		<i>Historical^b</i>						Projected			
<i>Assumption</i>	<i>Unit</i>	<i>1990</i>	<i>1995</i>	<i>2000</i>	<i>2005</i>	<i>2010</i>	<i>2011</i>	<i>2015</i>	<i>2020</i>	<i>2025</i>	<i>2030</i>

^a Parties should include key underlying assumptions as appropriate

^b Parties should include historical data used to develop the greenhouse gas projections reported.]

VII. VULNERABILITY ASSESSMENT, CLIMATE CHANGE IMPACTS AND ADAPTATION MEASURES

EU Proposal: Paragraph 49 of the existing guidelines would require an update of the references to available guidelines such as the PROVIA guidance and the UNEP Handbook.

49. A national communication shall include information on the expected impacts of climate change and an outline of the action taken to implement Article 4.1(b) and (e) with regard to adaptation. Parties are encouraged to use the Intergovernmental Panel on Climate Change (IPCC), Technical Guidelines for Assessing Climate Change Impacts and Adaptations, ~~and~~ the United Nations Environment Programme (UNEP) Handbook on Methods for Climate Change Impacts Assessment and Adaptation Strategies Parties may refer, inter alia, to integrated plans for coastal zone management, water resources and agriculture. Parties may also report on specific results of scientific research in the field of vulnerability assessment and adaptation.

Option 1 (paragraphs 49bis – 49 sexies) (EU):

EU proposal: The following headlines and content could also be included in the vulnerability and adaptation chapter:

Assessment of risks and vulnerability to climate change: This part could provide updated information on key vulnerabilities or risks threatening economic, social, environmental and other development progress related to current and expected climate change impacts, including non-climate drivers of those risks.

Climate Change Impacts: Under this heading, updated information on both observed and potential future impacts of climate change could be provided.

National Adaptation Policies and Strategies: This part could outline progress on adaptation policies, including laws, regulations, processes (such as the National Adaptation Planning process), strategies, action plans or sectoral plans, that illustrate the country's medium- and long-term approach to address risks and vulnerability through its broader national development and sector planning.

Monitoring & Evaluation Framework: Information on planned, developed or already implemented national approaches for M&E of adaptation strategies and programmes (such as NAPA, NAP, NAS or other adaptation and mainstreaming strategies) as well as their integration into already existing M&E systems for development planning (if applicable) could be presented in this section.

Progress and Outcomes of Adaptation Action: Under this heading, updated information on adaptation measures taken to address current risks and vulnerabilities and on their status of implementation could be described. This part could also outline updated information on progress, and if possible, outcomes, and effectiveness of already implemented adaptation measures.

Option 2 (paragraphs 49bis – 49quater) (secretariat):

49bis: Parties should report on their national institutional, legal and procedural arrangements for assessing their adaptation needs, and for devising and implementing adaptation strategies, plans and actions.

A. Climate impacts and vulnerability

49ter: To ensure transparency and comparability, Parties should provide information on the expected impacts of climate change, and on their vulnerability to these impacts noting in particular the geographic areas and the systems or activities affected, and the related time frame. Parties should also report on the underlying methodological frameworks (e.g., top-down/scenario-driven versus bottom-up/vulnerability-oriented frameworks), type of assessment (e.g., process-based/quantitative assessments), methods (e.g., statistical, empirical), tools, data and assumptions (including climatic socio-economic scenarios) used to assess impacts and vulnerability.

B. Adaptation actions

49quater: Parties should provide information on their national adaptation plans and strategies including their objectives, status of implementation, and on the respective monitoring and evaluation framework. Parties should also outline their implemented or planned actions to facilitate adaptation to climate change including inter alia information on their objectives, the method, scale, and timeframe of implementation, the stakeholders involved and the amount of resources allocated. The reported information could also include pre-existing programmes, policies and measures that offer co-benefits to support adaptation.

Table 7: Information on adaptation measures

<i>Vulnerable area</i>	<i>Examples/comments/adaptation measures reported</i>
Agriculture and food security	<i>Risk and Vulnerability:</i> <i>Impacts:</i> <i>Adaptation:</i>
Biodiversity and natural ecosystems	<i>Risk and Vulnerability:</i> <i>Impacts:</i> <i>Adaptation:</i>
Coastal zones	<i>Risk and Vulnerability:</i> <i>Impacts:</i> <i>Adaptation:</i>
Drought	<i>Risk and Vulnerability:</i> <i>Impacts:</i> <i>Adaptation:</i>
Fisheries	<i>Risks and Vulnerability:</i> <i>Impacts:</i> <i>Adaptation:</i>
Forests	<i>Risks and Vulnerability:</i> <i>Impacts:</i> <i>Adaptation:</i>
Human health	<i>Risks and Vulnerability:</i> <i>Impacts:</i> <i>Adaptation:</i>
Infrastructure and economy	<i>Risks and Vulnerability:</i>

<i>Vulnerable area</i>	<i>Examples/comments/adaptation measures reported</i>
Water resources	<i>Impacts:</i>
	<i>Adaptation:</i>
	<i>Risks and Vulnerability:</i>
	<i>Impacts:</i>
	<i>Adaptation:</i>

VIII. FINANCIAL RESOURCES AND TRANSFER OF TECHNOLOGY [PROVISION OF FINANCIAL, TECHNOLOGICAL AND CAPACITY- BUILDING SUPPORT TO DEVELOPING COUNTRY PARTIES] (secretariat)

Option 1 (paragraphs 50bis-56) (NZ):

50. In accordance with Article 12.3, Annex II Parties shall provide details of measures taken to give effect to their commitments under Article 4.3, 4.4, and 4.5, as follows.

50bis: Each Annex II Party shall provide a description of its national approach for tracking of the provision of financial, technological and capacity-building support to non-Annex I Parties, if appropriate. This description shall also include information on indicators and delivery mechanisms used and allocation channels tracked.

50ter: In reporting information in accordance with paragraphs 51bis and 51ter below, Annex II Parties shall use any methodology to be developed under the Convention, taking into account international experience. Annex II Parties shall describe the methodology used and shall report in a rigorous, robust and transparent manner the underlying assumptions, and methodologies used to produce information on finance.

A. Finance

50quater: Each Annex II Party shall describe, to the extent possible, how it seeks to ensure that the resources it provides effectively address the needs of non-Annex I Parties with regard to climate change adaptation and mitigation.

51. [Parties]–[Each Annex II Party] shall indicate what “new and additional” financial resources they have provided pursuant to Article 4.3. Parties shall clarify how they have determined such resources as being “new and additional” in their national communications. ~~In communicating this information, Parties shall complete table 3.~~

51bis: Each Annex II Party shall provide information on the financial support it has provided, committed and/or pledged for the purpose of assisting non-Annex I Parties to mitigate GHG emissions and adapt to the adverse effects of climate change and any economic and social consequences of response measures, and for capacity-building and technology transfer in the areas of mitigation and adaptation, where appropriate. To that end, each Annex II Party shall provide summary information in a textual and tabular format (Table X below) on allocation channels and

annual contributions for the previous two calendar or financial years without overlapping with the previous reporting periods, including, as appropriate, the following:

- (a) The Global Environment Facility, the Least Developed Countries Fund, the Special Climate Change Fund, the Adaptation Fund, the Green Climate Fund and the Trust Fund for Supplementary Activities;
- (b) Other multilateral climate change funds;
- (c) Multilateral financial institutions, including regional development banks;
- (d) Specialized United Nations bodies;
- (e) Contributions through bilateral, regional and other channels;

51ter: Each Annex II Party shall provide the summary information, referred to in paragraph x above, for the previous two calendar or financial years in a textual and tabular format on the annual financial support that it has provided for the purpose of assisting non-Annex I Parties, including the following:

- (a) The amount of financial resources (including the amount in original currency and its equivalent in United States dollars/international currency);
- (b) The type of support (for mitigation and adaptation activities);
- (c) The source of funding;
- (d) The financial instrument;
- (e) The sector;
- (f) An indication of what new and additional financial resources they have provided pursuant to Article 4, paragraph 3, of the Convention; Parties shall clarify how they have determined that such resources are new and additional;

52. Parties shall provide detailed information on the assistance provided for the purpose of assisting developing country Parties that are particularly vulnerable to the adverse effects of climate change in meeting the costs of adaptation to those adverse effects, in textual format and with reference to table 5.

53. Parties shall provide any information on any financial resources related to the implementation of the Convention provided through bilateral, regional and other multilateral channels. Parties should complete tables ~~4 and 5~~.

53bis: Recognizing that the goal of mobilizing the financial resources referred to in decision 1/CP.16, paragraph 98, includes private financial sources, Annex II Parties should report, to the extent possible, on private financial flows leveraged by bilateral climate finance towards mitigation and adaptation activities in non-Annex I Parties, and should report on policies and measures that promote the scaling up of private investment in mitigation and adaptation activities in developing country Parties.

53ter: Annex II Parties should specify the types of instruments used in the provision of their assistance, such as grants and concessional loans.

B. Technology development and transfer

53quater: Each Annex II Party shall provide information on measures taken to promote, facilitate and finance the transfer of, access to and the deployment of climate-friendly technologies for the benefit of non-Annex I Parties, and for the support of the development and enhancement of endogenous capacities and technologies of non-Annex I Parties. Parties may also provide information on success and failure stories.

54. Each Annex II Party shall provide, in textual and tabular formats (table 6 below), information on measures and activities related to technology transfer implemented or planned since its last national communication or biennial report. [Parties shall, when reporting details of measures related to the promotion, facilitation and financing of the transfer of, or access to, environmentally-sound technologies, clearly distinguish between activities undertaken by the public sector and those undertaken by the private sector.] [In reporting such measures and activities, Annex II Parties shall, to the extent possible, provide information on the recipient country, the target area of mitigation or adaptation, the sector involved and the sources of technology transfer from the public or private sectors, and shall distinguish between activities undertaken by the public and private sectors.] As the ability of Parties to collect adequate information on private sector activities is limited, Parties may indicate, where feasible, in what way they have encouraged private sector activities, and how these activities help meet the commitments of Parties under Article 4.3, 4.4 and 4.5 of the Convention.

55. Parties shall, where feasible, report activities related to technology transfer, including success and failure stories, using table 6 below. Parties shall also report their activities for financing access by developing countries to "hard" or "soft" environmentally-sound technologies.

56. Parties shall report information, in textual format, on steps taken by governments to promote, facilitate and finance transfer of technology, and to support development and enhancement of endogenous capacities and technologies of developing countries.

C. Capacity-building

56bis. Each Annex II Party shall provide information, to the extent possible, on how it has provided capacity-building support that responds to the existing and emerging capacity-building needs identified by non-Annex I Parties in the areas of mitigation, adaptation, and technology development and transfer. Information should be reported in a textual and tabular format (table 8 below) as a description of individual measures and activities.

[Table 3. Financial contributions to the Global Environment Facility (GEF)

Table 4. Financial contributions to multilateral institutions and programmes

Table 5. Bilateral and regional financial contributions related to the implementation of the Convention, 1997]

[Tables 4, 5, 6]

Table 6. [7] Description of selected projects or programmes that promoted practicable steps to facilitate and/or finance the transfer of, or access to, environmentally-sound technologies

Option 2 (paragraphs. 50-56) (secretariat):

50. In accordance with Article 12.3, and to facilitate the transparency, comparability and consistency of national communications, Annex II Parties shall provide details of measures taken to give effect to their commitments under Article 4.3, 4.4, and 4.5, as follows. Parties may also provide in this section a description of the challenges, barriers and constraints in effectively and efficiently providing financial, technological and capacity-building support to developing countries.

50bis: In reporting such information, Parties should distinguish, to the extent possible, between support provided to non-Annex I Parties for mitigation and adaptation activities, noting the capacity-building elements of such activities, where relevant. For activities with multiple objectives, the funding could be reported as a contribution allocated partially to the other relevant objectives.

50quater: Each Annex II Party shall provide a description of its national approach for tracking of the provision of financial, technological and capacity-building support to non-Annex I Parties, if appropriate. This description shall also include information on indicators and delivery mechanisms used and allocation channels tracked. If this information was already reported in the national communication, the biennial report should only report changes to this information.

50quinquies: In reporting information in accordance with paragraphs 50septies and 50octies below, Annex II Parties shall use any methodology to be developed under the Convention, taking into account international experience. Annex II Parties shall describe the methodology used and shall report in a rigorous, robust and transparent manner the underlying assumptions, [applicable definitions] and methodologies used to produce information on finance.

A. Finance

50sexies: Each Annex II Party shall describe, to the extent possible, how it seeks to ensure that the resources it provides effectively address the needs of non-Annex I Parties with regard to climate change adaptation and mitigation.

50septies: Each Annex II Party shall provide information on the financial support it has provided, [and] committed ~~and/or pledged~~ (EU) for the purpose of assisting non-Annex I Parties to mitigate GHG emissions and adapt to the adverse effects of climate change and any economic and social consequences of response measures, and for capacity-building and technology transfer in the areas of mitigation and adaptation, where appropriate. To that end, each Annex II Party shall provide summary information in a textual and tabular format on allocation channels and annual contributions for the previous two calendar or financial years without overlapping with the previous reporting periods, including, as appropriate, the following:

- (a) The Global Environment Facility, the Least Developed Countries Fund, the Special Climate Change Fund, the Adaptation Fund, the Green Climate Fund and the Trust Fund for Supplementary Activities;
- (b) Other multilateral climate change funds;

- (c) Multilateral financial institutions, including regional development banks;
- (d) Specialized United Nations bodies;
- (e) Contributions through bilateral, regional and other channels;

50octies: Each Annex II Party shall provide the summary information, referred to in paragraph 50septies above, for the previous two calendar or financial years in a textual and tabular format on the annual financial support that it has provided for the purpose of assisting non-Annex I Parties, including the following:

- (a) The amount of financial resources (including the amount in original currency and its equivalent in United States dollars/international currency);
- (b) The type of support (for mitigation and adaptation activities);
- (c) The source of funding;
- (d) The financial instrument;
- (e) The sector;
- (f) An indication of what new and additional financial resources they have provided pursuant to Article 4, paragraph 3, of the Convention; Parties shall clarify how they have determined that such resources are new and additional;

50novies: Recognizing that the goal of mobilizing the financial resources referred to in decision 1/CP.16, paragraph 98, includes private financial sources, Annex II Parties should report, to the extent possible, on private financial flows leveraged by bilateral climate finance towards mitigation and adaptation activities in non-Annex I Parties, and should report on policies and measures that promote the scaling up of private investment in mitigation and adaptation activities in developing country Parties.

50decies: Annex II Parties should specify the types of instruments used in the provision of their assistance, such as grants and concessional loans.

B. Technology development and transfer

50undecies: Each Annex II Party shall provide information on measures taken to promote, facilitate and finance the transfer of, access to and the deployment of climate-friendly technologies for the benefit of non-Annex I Parties, and for the support of the development and enhancement of endogenous capacities and technologies of non-Annex I Parties. Parties may also provide information on success and failure stories.

50duodecies: Each Annex II Party shall provide, in textual and tabular formats, information on measures and activities related to technology transfer implemented or planned since its last national communication or biennial report. In reporting such measures and activities, Annex II Parties shall, to the extent possible, provide information on the recipient country, the target area of mitigation or

adaptation, the sector involved and the sources of technology transfer from the public or private sectors, and shall distinguish between activities undertaken by the public and private sectors.

~~51. Parties shall indicate what “new and additional” financial resources they have provided pursuant to Article 4.3. Parties shall clarify how they have determined such resources as being “new and additional” in their national communications. In communicating this information, Parties shall complete table 3.~~

~~52. Parties shall provide detailed information on the assistance provided for the purpose of assisting developing country Parties that are particularly vulnerable to the adverse effects of climate change in meeting the costs of adaptation to those adverse effects, in textual format and with reference to table 5.~~

~~53. Parties shall provide any information on any financial resources related to the implementation of the Convention provided through bilateral, regional and other multilateral channels. Parties should complete tables 4 and 5.~~

~~54. Parties shall, when reporting details of measures related to the promotion, facilitation and financing of the transfer of, or access to, environmentally sound technologies, clearly distinguish between activities undertaken by the public sector and those undertaken by the private sector. As the ability of Parties to~~ If Parties are not able to collect adequate information on private sector activities ~~[is limited,]~~ Parties may indicate ~~[, where feasible,]~~ in what way they have encouraged private sector activities, and how these activities help meet the commitments of Parties under Article 4.3, 4.4 and 4.5 of the Convention.

~~55. Parties shall, where feasible, report activities related to technology transfer, including success and failure stories, using table 6 below. Parties shall also report their activities for financing access by developing countries to “hard” or “soft” environmentally sound technologies.³~~

~~56. Parties shall report information, in textual format, on steps taken by governments to promote, facilitate and finance transfer of technology, and to support development and enhancement of endogenous capacities and technologies of developing countries.~~

C. Capacity-building

54bis: Each Annex II Party shall provide information, to the extent possible, on how they have provided capacity-building support that responds to the existing and emerging capacity building needs identified by non-Annex I Parties in the areas of mitigation and adaptation, [including the establishment and maintenance of observing systems, and related data and monitoring systems,] and technology development and transfer. Information should be reported in a textual and tabular format as a description of individual measures and activities.

[Table 3. Financial contributions to the Global Environment Facility (GEF)

Table 4. Financial contributions to multilateral institutions and programmes

Table 5. Bilateral and regional financial contributions related to the implementation of the Convention, 1997]

[Tables 8, 9, 10]

Table 6.— [11] Description of selected projects or programmes that promoted practicable steps to facilitate and/or finance the transfer of, or access to, environmentally-sound technologies

Table [4] [8] Provision of public financial support: contribution through multilateral channels in 20XX-3^a

Donor funding	Total amount				Status ^b	Funding source ^f	Financial instrument ^f	Type of support ^{f, g}	Sector ^c
	Core/general ^d		Climate-specific ^e						
	American dollar - USD	USD	American dollar - USD	USD					
					[Provided Committed Pledged] (NZ)	[ODA OOF Other ^g] (NZ)	Grant Concessional loan Non-concessional loan Equity Other ^g] (NZ)	Mitigation Adaptation Cross-cutting ^h Other ^g] (NZ)	Energy Transport Industry Agriculture Forestry Water and sanitation Cross-cutting Other ^g] (NZ)
Total contributions through multilateral channels									
Multilateral climate change funds ^g									
1. Global Environment Facility									
2. Least Developed Countries Fund									
3. Special Climate Change Fund									
4. Adaptation Fund									
5. Green Climate Fund									
6. UNFCCC Trust Fund for Supplementary Activities									
7. Other multilateral climate change funds									
Multilateral financial institutions, including regional development banks									
1. World Bank									
2. International Finance Corporation									
3. African Development Bank									

4. Asian Development Bank									
5. European Bank for Reconstruction and Development									
6. Inter-American Development Bank									
7. Other									
Specialized United Nations bodies									
1. United Nations Development Programme									
2. United Nations Environment Programme									
3. Other									

Abbreviations: ODA = official development assistance, OOF = other official flows.

^a Parties should fill in a separate table for each year, namely [2011 and 2012], [2015 and 2016,] where [2014]- [2018] is the reporting year.

^b Parties should explain, in their [biennial reports], [national communications], (secretariat) the methodologies used to specify the funds as provided, committed and/or pledged (EU). Parties will provide the information for as many status categories as appropriate in the following order of priority: provided, committed, pledged (EU)

^c Parties may select several applicable sectors. Parties may report sectoral distribution, as applicable, under “Other”.

^d This refers to support to multilateral institutions that Parties cannot specify as climate-specific.

^e Parties should explain in their [biennial reports], [national communications], how they define funds as being climate-specific.

^f Please specify.

^g Cross-cutting type of support refers to funding for activities which are cross-cutting across mitigation and adaptation.

NZ proposal: We note that the classification of UN agencies is confusing. Both UNDP and UNEP are listed under the heading “Specialized United Nations body”. However, both UNDP and UNEP are actually classified as “Programmes and Funds” in the UN System. The World Bank Group of agencies are indeed “Specialised Agencies” and we suggest the table heading be amended accordingly.

Placeholder: text proposed by New Zealand

Table [5] [9] Provision of public financial support: contribution through bilateral, regional and other channels in 20XX-3^a

Recipient country/ region/project/programme ^b	Total amount		Status ^c	Funding source ^g	Financial instrument ^g	Type of support ^{g, h}	Sector ^d	Additional information ^e
	Climate-specific ^f							
	American dollar - USD	USD						
Total contributions through bilateral, regional and other channels			[Provided Committed Pledged] (NZ)	[ODA OOF Other ^g] (NZ)	Grant Concessional loan Non- concessional loan Equity Other ^g] (NZ)	Mitigation Adaptation Cross- cutting ^h Other ^g] (NZ)	Energy Transport Industry Agriculture Forestry Water and sanitation Cross- cutting Other ^g] (NZ)	

Abbreviations: ODA = official development assistance, OOF = other official flows; USD = United States dollars.

^a Parties should fill in a separate table for each year, namely [2011 and 2012], [2015 and 2016], where [2014]-[2018] is the reporting year. (secretariat)

^b Parties should report, to the extent possible, on details contained in this table.

^c Parties should explain, in their [biennial report] [national communications], (NZ) the methodologies used to specify the funds as provided, committed and/or pledged (EU). Parties will provide the information for as many status categories as appropriate in the following order of priority: provided, committed, pledged (EU)

^d Parties may select several applicable sectors. Parties may report sectoral distribution, as applicable, under “Other”.

^e Parties should report, as appropriate, on project details and the implementing agency.

^f Parties should explain in their [biennial reports], [national communications], (NZ) how they define funds as being climate-specific.

^g Please specify.

^h Cross-cutting type of support refers to funding for activities which are cross-cutting across mitigation and adaptation.

Table [6] [10] Provision of technology development and transfer support^{a,b}

<i>Recipient country and/or region</i>	<i>Targeted area</i>	<i>Measures and activities related to technology transfer</i>	<i>Sector^c</i>	<i>Source of the funding for technology transfer</i>	<i>Activities undertaken by</i>	<i>Status</i>	<i>Additional information^d</i>
	[Mitigation Adaptation Mitigation and adaptation] (NZ)		[Energy Transport Industry Agriculture Water and sanitation Other] (NZ)	[Private Public Private and public] (NZ)	[Private Public Private and public] (NZ)	[Implemented Planned] (NZ)	

^a To be reported to the extent possible.

^b The tables should include measures and activities since the last national communication or biennial report.

^c Parties may report sectoral disaggregation, as appropriate.

^d Additional information may include, for example, funding for technology development and transfer provided, a short description of the measure or activity and co-financing arrangements.

Table 6 [7] [11] Description of selected projects or programmes that promoted practicable steps to facilitate and/or finance the transfer of, or access to, environmentally-sound technologies

Project/programme title:			
Purpose:			
Recipient country	Sector	Total funding	Years in operation
Description:			
Indicate factors which led to project's success:			
Technology transferred:			
Impact on greenhouse gas emissions/sinks (optional):			

Table [12] Provision of capacity-building support^a

<i>Recipient country/region</i>	<i>Targeted area</i>	<i>Programme or project title</i>	<i>Description of programme or project^{b,c}</i>
	[Mitigation Adaptation Technology development and transfer Multiple areas] (NZ) [Research and systematic observation](secretariat)		

^a To be reported to the extent possible.

^b Each Party included in Annex II to the Convention shall provide information, to the extent possible, on how it has provided capacity-building support that responds to the existing and emerging capacity-building needs identified by Parties not included in Annex I to the Convention in the areas of mitigation, adaptation and technology development and transfer.

^c Additional information may be provided on, for example, the measure or activity and co-financing arrangements.

IX. RESEARCH AND SYSTEMATIC OBSERVATION

57. Pursuant to Articles 4.1(g) and (h), 5 and 12.1(b), Annex I Parties shall communicate information on their actions relating to research and systematic observation.

58. The national communication shall address both domestic and international activities (for example, the IPCC, World Climate Research Programme, the International Geosphere-Biosphere Programme, the Global Climate Observing System). ~~They shall also reflect action taken to support related capacity building in developing countries.~~ (secretariat)

59. Parties shall provide summary information on global climate observing system activities in accordance with paragraph 64 below. To guide reporting under section IX, parts A and C, Parties should refer to the detailed guidance provided in the revised UNFCCC reporting guidelines on global climate change observing systems (annexed to decision 11/CP.13) ~~(contained herein, see pages 101–108)~~ (secretariat).

60. The national communication should report, in summary form, on action taken. For example, the results of research studies or model runs or data analysis should not be included in this section.

A. General policy on and funding of research and systematic observation

61. Parties should provide information about general policy on and funding of research and systematic observation. Parties should in particular provide information on how they engage other research and systematic observation institutions, in particular from developing countries, in collaborative actions, how they ensure a multidisciplinary approach, how they enhance and coordinate climate research as well as on how they enhance their capacity in the area of climate monitoring and data management (monitoring, digitizing, archiving). (secretariat)

62. Parties should identify the opportunities for and barriers to free and open international exchange of data and information and report on action taken to overcome barriers.

62bis: Parties should provide information on how their implemented and planned research and systematic observation activities and programmes support both mitigation and adaptation needs. (secretariat)

B. Research

62ter: Parties should identify and report on their research needs and priorities to support the implementation of the Convention as well as national efforts to cope with climate change.

62quater: Parties should specifically report on national research programmes, activities and databases that address climate change adaptation and vulnerability and risk assessments and identify links to these programmes and databases in order to avoid duplication. (secretariat)

EU Proposal: In order to improve the usefulness of the reports and comparability across countries, the scope of the information to be provided in Section IX should be further clarified. The essential paragraph is paragraph 63 and the paragraphs before (57 to 62) may be shortened and streamlined.

Placeholder: proposed text by the EU

63. Parties should provide, *inter alia*, information on highlights, innovations and significant efforts made with regard to:

- (a) Climate process and climate system studies, including paleoclimate studies;
- (b) Modelling and prediction, including general circulation models;
- (c) Research on the impacts of climate change;
- (d) Socio-economic analysis, including analysis of both the impacts of climate change and response options;
- (e) Research and development on mitigation and adaptation technologies .

C. Systematic observation

64. Parties, based on their technical reports on systematic observation prepared in accordance with the revised UNFCCC reporting guidelines on global climate change observing systems annexed to Decision 11/CP.13 and submitted in conjunction with their national communication, (EU/secretariat) should provide summary information on the current status of national plans, programmes for contributing observations of the essential climate variables (ECVs) to the international community (EU/secretariat) and support for ground- and space-based climate observing systems, including long-term continuity of data, data quality control and availability, and exchange and archiving of data in the following areas:

- (a) Atmospheric climate observing systems, including those measuring atmospheric constituents;
- (b) Ocean climate observing systems;
- (c) Terrestrial climate observing systems;
- ~~(d) Support for developing countries to establish and maintain observing systems, and related data and monitoring systems~~⁴ (secretariat)

X. EDUCATION, TRAINING AND PUBLIC AWARENESS

65. In accordance with Articles 4.1(i), 6 and 12.1(b), Annex I Parties shall communicate information on their actions relating to education, training and [,] public awareness (public participation, public access to information, and international cooperation and on their related accomplishments, lessons learned, experiences gained and remaining challenges and opportunities.) (secretariat) In this section, Parties should report, *inter alia*, on public information and education

⁴ Information requested in section on “Capacity building”

materials. Parties may report the extent of public participation in the preparation or domestic review of the national communication.

65bis: Parties should also report on their efforts and steps taken to implement the Doha work programme on Article 6 of the Convention and to share their experiences and best practices for the purpose of reviewing the implementation and effectiveness of the work programme in 2016 and 2020). (secretariat)

66. Parties should provide information on the priority thematic areas and target audiences of the Article 6 implementation. (EU) ~~The national communication [Parties]~~ (EU) may present information on such aspects as:

- (a) General policy toward education, training and public awareness;
- (b) Primary, secondary and higher education;
- (c) Public information campaigns;
- (d) Training programmes;
- (e) Resource or information centres;
- (f) Involvement of the public and non-governmental organizations;
- (g) Participation in international activities.

66bis. Parties should provide information on their monitoring and review activities of Article 6 implementation along with information on funding received for the implementation of Article 6 and, where available, on the costs of the most significant Article 6 implementation activities. (EU)

XI. UPDATING OF THE GUIDELINES

67. These guidelines for national communications shall be reviewed and revised, as appropriate, in accordance with decisions of the Conference of the Parties on this matter.

EU Proposal: Part B « Structure» should be moved to the end of these guidelines

XII. STRUCTURE OF THE NATIONAL COMMUNICATION (EU)

67bis. The information identified in these guidelines shall be communicated by a Party in a single document, ~~500 copies of which should be submitted to the COP through the, and shall be~~ (EU) in one of the official languages of the United Nations. Parties may include a reference to a national focal point and/or web site where additional copies may be obtained. The length of a national communication may be decided by the submitting Party but every effort shall be made to avoid over-lengthy national communications, in order to reduce the paper burden and to facilitate the consideration process. Parties shall also provide an electronic version of their national communication to the secretariat.

67ter. Annex I Parties should also submit to the secretariat, where relevant, a translation of their national communication into English.

67quater. Parties should provide references to additional relevant background information in an annex to the national communication. ~~Parties should also provide this information and other relevant background information to the secretariat on its request, preferably in English, or another official language of the United Nations.~~ (EU)

67quinquies: To facilitate transparency, comparability and consistency of national communications, Parties shall structure their national communication following the outline contained in the annex to these guidelines. To ensure completeness, no mandatory element shall be excluded. If mandatory elements cannot be reported for any reason, Parties shall explain the omission or the reason for partial reporting in the section relating to that element.

67sexies: Where statistical data are provided they should be accompanied by a definition of terms, unless they are obvious.

EU Proposal: A paragraph on the general relationship between BRs and NCs should be added to this section

Annex to the UNFCCC reporting guidelines on national communications

STRUCTURE OF THE NATIONAL COMMUNICATION

I. EXECUTIVE SUMMARY

II. NATIONAL CIRCUMSTANCES RELEVANT TO GREENHOUSE GAS EMISSIONS AND REMOVALS [MITIGATION AND ADAPTATION ACTIONS, AND QUANTIFIED ECONOMY-WIDE EMISSION REDUCTION (QEWER) TARGET]

[A. Purpose

B. National circumstances relevant to greenhouse gas emissions and removals, mitigation and adaptation actions

C. Quantified economy-wide emission reduction target

D. Estimates of emission reductions and removals and the use of units from the market-based mechanisms and land use, land-use change and forestry activities] (secretariat)

E. Flexibility in accordance with Article 4.6 and 4.10

[Table 1(a)

Table 1(b)

Table 1(c)

Table 1(d)

Table 1(e) I

Table 1(e) II

Table 1(f)]

III. GREENHOUSE GAS INVENTORY INFORMATION

A. Summary tables (or as an annex to the national communication) [Table 2]

B. Descriptive summary

[C. National Inventory arrangements] (EU)

IV. POLICIES AND MEASURES

A. Policy-making process

B. Policies and measures and their effects

C. Policies and measures no longer in place

[Table 1] [3]]

V. PROJECTIONS AND THE TOTAL EFFECT OF POLICIES AND MEASURES

A. Projections

B. Assessment of aggregate effects of policies and measures

C. Methodology

[Table 2] [4]

Table 5

Table 5(a)I-20XX

Table 5(a)I-20XX+1

Table 5(b)

Table [3] [6]]

VI. VULNERABILITY ASSESSMENT, CLIMATE CHANGE IMPACTS AND ADAPTATION MEASURES

~~A. Expected impacts of climate change~~

~~B. Vulnerability Assessment~~

~~C. Adaptation measures~~

[A. Assessment of risks and vulnerability to climate change

B. Climate Change Impacts

C. National Adaptation Policies and Strategies

D. Monitoring and Evaluation Framework

E. Progress and Outcomes of Adaptation Action] (EU)

[A. Climate Impacts and Vulnerability

B. Adaptation Actions

Table 7] (secretariat)

VII. ~~FINANCIAL RESOURCES AND TRANSFER OF TECHNOLOGY~~ [PROVISION OF FINANCIAL, TECHNOLOGICAL AND CAPACITY-BUILDING SUPPORT TO DEVELOPING COUNTRY PARTIES]

~~A. Provision of ‘new and additional’ resources~~

~~B. Assistance to developing country Parties that are particularly vulnerable to climate change~~

~~C. Provision of financial resources~~

~~D. Activities related to transfer of technology~~

[A. Finance

B. Technology development and transfer

C. Capacity building

Table [4] [8]

Table [5] [9]

Table [6] [10]

Table [7] [11]

Table [8] [12]] (NZ, secretariat)

VIII. RESEARCH AND SYSTEMATIC OBSERVATION

A. General policy on and funding of research and systematic observation

B. Research

C. Systematic observation

IX. EDUCATION, TRAINING AND PUBLIC AWARENESS