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## **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 is an update of the technical paper published in November 2014 (FCCC/TP/2014/5). It synthesizes views from Parties on 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” received over three rounds of submissions since February 2014. In addition, it reflects a submission received in September 2015 and the revisions agreed at the forty-second session of the Subsidiary Body for Implementation.

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## I. Background and mandate

1. Article 4, paragraph 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 and that forms the basis of national communications (NCs).

2. 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”<sup>1</sup> (hereinafter referred to as the guidelines) aim to assist Parties included in Annex I to the Convention (Annex I Parties) to meet their commitments under Articles 4 and 12 of the Convention, to promote the provision of consistent, transparent, comparable, accurate and complete information, and to assist the Conference of the Parties (COP) to review the implementation of the Convention.

3. The 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 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).

4. The COP, by decision 2/CP.17, requested the Subsidiary Body for Implementation (SBI) to begin, at its fortieth session, the revision of the guidelines 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. In decision 2/CP.17 the secretariat was also requested to prepare a technical paper to facilitate the consideration by SBI 41 of the revision of the guidelines.

5. The COP, by decision 19/CP.18, adopted the common tabular format for the submission of BRs, and by the same decision encouraged developed country Parties to ensure consistency, to the extent possible, between the information provided in their BRs and NCs.

6. In response to the invitations of COP 17<sup>2</sup> and SBI 40,<sup>3</sup> Parties submitted their views on their experience with preparing their first BRs and on the revision of the guidelines in 2014. Seven submissions were received from four Parties over two rounds of submissions (March 2014 and August 2014), namely from the European Commission on behalf of the European Union and its member States, Japan, New Zealand, and the United States of America.<sup>4</sup>

7. Following the request made by the COP in decision 2/CP.17, a technical paper<sup>5</sup> was prepared by the secretariat and was used to facilitate the discussions at SBI 41 and 42. The technical paper presented a synthesis of views and specific options proposed by Parties in their submissions. It also presented possible revisions of the current guidelines on the basis of the technical analysis of the relevant reporting requirements under the Convention.

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<sup>1</sup> As adopted by decision 4/CP.5.

<sup>2</sup> Decision 2/CP.17, paragraph 17.

<sup>3</sup> FCCC/SBI/2014/8, paragraph 14.

<sup>4</sup> The submissions are available at <[www.unfccc.int/5900](http://www.unfccc.int/5900)>.

<sup>5</sup> FCCC/TP/2014/5.

8. In addition, SBI 42 invited Parties to submit further views on the revision of the guidelines taking into account the need to ensure consistency, to the extent possible, between the reporting requirements for BRs and NCs.<sup>6</sup> The views submitted by one Party (Saudi Arabia)<sup>7</sup> on the revision of the guidelines at the time of preparation of this technical paper are reflected in it.

9. The SBI also requested the secretariat to revise and update the technical paper on the revision of the guidelines in order to reflect the views submitted by Parties and the outcomes of the discussions at SBI 42 so as to inform and facilitate the discussions at SBI 43.<sup>8</sup>

## **II. Scope and approach of the technical paper**

10. This document presents the views submitted by Parties in response to the above-mentioned invitations of COP 17 and SBI 40 and 42. The annex contains the guidelines with revisions proposed by Parties in their submissions and during discussions at SBI 42. The proposed approaches and options are transparently presented and attributed.

11. Proposals from Parties for concrete amendments to specific parts of the current guidelines are presented in green text within the relevant paragraphs. Some Parties provided suggestions for elements to be included in the current guidelines but did not propose specific text to be used. These suggestions are presented in the annex in blue text with a placeholder in some cases to indicate that the concerned text will be further developed. ‘Strikethrough’ formatting is used to denote suggested deletions of text in the current guidelines. Bracketed names of Parties (e.g. Japan, European Union (EU), Saudi Arabia, New Zealand (NZ), United States of America (USA)) indicate the origin of the proposal. The paragraphs are numbered using the suffixes “bis”, “ter”, “quater”, etc., mirroring the paragraph numbering approach used in the current guidelines.

12. The revisions agreed at SBI 42, specifically the inclusion of information provided in biennial reporting common tabular format tables 5, 6(a), 6(b), 6(c), 7, 7(a), 7(b) and 9, as well as the revisions to the provisions on the projection timeline specified in paragraph 37 of the guidelines,<sup>9</sup> are reflected in the annex in blue-highlighted text. The updates required to include this information are indicated in orange text, to be found in paragraphs 32, 38, 47, 48, 52, and 53 and the above-mentioned tables.

13. Reporting tables in current NCs and the biennial reporting common tabular format tables, the inclusion of which in the guidelines was agreed at SBI 42 as indicated in paragraph 12 above, can be found in the relevant sections.

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<sup>6</sup> FCCC/SBI/2015/10, paragraph 14.

<sup>7</sup> The submissions are available at <[www.unfccc.int/5900](http://www.unfccc.int/5900)>.

<sup>8</sup> FCCC/SBI/2015/10, paragraph 15.

<sup>9</sup> FCCC/SBI/2015/10, paragraph 13.

## 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<sup>1</sup>**

#### **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.

<sup>1</sup> As in the following, the views and proposals of Parties are indicated with the current UNFCCC reporting guidelines on national communications by Annex I Parties. **Proposals from Parties appear in green text**, while **Parties' proposals for which text is yet to be provided appears in blue text**. 'Strike-through' formatting is used when deletions have been suggested.). Bracketed names of Parties (e.g. EU, Japan, NZ, USA) 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. The matters discussed and agreed at SBI42 are **highlighted in blue**. The updates required to reflect inclusion of those information are indicated **in orange text**.

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~~ **are encouraged to** (USA) 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**

**(paragraphs 8-9):**

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. 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 of national communications, the following headings 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;
- ~~(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), GDP per capita (expressed in domestic currency and purchasing parities), GDP by sector, 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;
- (f) Energy (by fuel types where appropriate): for example, energy resource base, production, market structure, prices, taxes, subsidies, trade;
- (g) Transportation: for example, modes (passenger and freight), travel distances, fleet characteristics;
- (h) Industry: for example, structure;
- (i) Waste: for example, waste sources, management practices;
- (j) Building stock and urban structure: for example, profile of residential and commercial buildings;
- (k) Agriculture: for example, structure, management practices;
- (l) Forest: for example, types, management practices;
- (m) Other circumstances.

**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.

#### **IV. GREENHOUSE GAS INVENTORY INFORMATION**

## A. Summary tables

(paragraphs 10-11):

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

11. 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 (CO<sub>2</sub>) equivalent and emissions trend tables given in the common reporting format contained in the above-mentioned guidelines. These tables may be provided as an annex, as part of the national communication rather than in the main text.

**EU proposal:** As it is unnecessary to duplicate the same information in the BR and the NC, the CRF tables of emissions and trends should be primarily an element of the BR.

## 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. Parties should provide a description of the factors underlying emission trends.

## 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

(paragraphs 13-16):

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 and may also indicate those 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.

**EU proposal:** the concept of reporting on “most significant” policies and measures could be further elaborated. The national communication should report on the most important PAMs in narrative form, also on significant policies and measures that may not necessarily be covered by the reporting in the biennial reports.

**Placeholder:** proposed text by the EU

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.

**Placeholder:** information on economic and social consequences of response measures (SBI 42, Saudi Arabia)

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

**(paragraphs 17-19):**

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) are affected by which policies. (EU) To the extent appropriate, the following sectors should be considered: [energy] [energy supply, energy consumption](EU), transport, [industry/industrial processes] (Japan, NZ, USA) [industrial processes] (EU), agriculture, forestry/LULUCF (EU, Japan, NZ, USA) and waste management/waste (EU, Japan, NZ, USA), cross-cutting and others(EU). 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(EU, Japan, NZ, USA). 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.

### **C. Policy-making process**

**(paragraphs 20-21):**

20. The national communication should describe the overall policy context, including any national targets for greenhouse gas mitigation. Strategies for sustainable development, **long-term mitigation strategies** (EU) or other relevant 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)

21. 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.

### **D. Policies and measures and their effects**

**(paragraphs 22-25):**

**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. The presentation should be concise and should include information on the detail suggested after each subject heading:

(a) *Name and short description 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;

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

(d) *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) *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;

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

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 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 [such as 1995, 2000 and 2005] [that is a multiple of five or ten following the latest available annual inventory year.] (NZ) [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)

**EU proposal:** An update of the years referred to in para 23 should preferably be implemented in a way that specifies the future period to be covered relative to the reporting year to avoid the need for future revisions of the guidelines.

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. Summary of policies and measures by sector<sup>a</sup>**

| Name of policy or Measure <sup>b</sup> | Objective and/or activity affected | GHG affected | Type of instrument | Status <sup>c</sup> | Implementing entity or entities | Estimate of mitigation impact, by gas (for a particular year, not cumulative, in CO <sub>2</sub> equivalent) <sup>d</sup> |      |      |
|--|------------------------------------|--------------|--------------------|---------------------|---------------------------------|---|------|------|
|  |                                    |              |                    |                     |                                 | 1995  | 2000 | 2005 |
|  |                                    |              |                    |                     |                                 |   |      |      |

<sup>a</sup> Separate tables shall be completed for each sector, as set out in paragraph 17.

<sup>b</sup> Parties should use an asterisk (\*) to indicate that a measure is included in the 'with measures' projection.

<sup>c</sup> To the extent possible, the following descriptive terms should be used: *implemented, adopted, planned*. Additional information may be provided on funding and the relevant time-scale.

<sup>d</sup> Parties may add columns for additional years (for example 2010, 2015, etc.).

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

| Name of mitigation action][policy or measure] <sup>a</sup> (NZ) | Sector(s) affected <sup>b</sup> | GHG(s) affected | Objective and/or activity affected | Type of instrument <sup>c</sup> | Status of implementation <sup>d</sup> | Brief description <sup>e</sup> | Start year of implementation | Implementing entity or entities | Estimate of mitigation impact (not cumulative, in kt CO <sub>2</sub> eq) |      |
|---|---------------------------------|-----------------|------------------------------------|---------------------------------|---------------------------------------|--------------------------------|------------------------------|---------------------------------|--|------|
|   |                                 |                 |                                    |                                 |                                       |                                |                              |                                 | 20XX <sup>f</sup>  | 2020 |
|   |                                 |                 |                                    |                                 |                                       |                                |                              |                                 |  |      |
|   |                                 |                 |                                    |                                 |                                       |                                |                              |                                 |  |      |

*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.

<sup>a</sup> Parties should use an asterisk (\*) to indicate that a mitigation action is included in the 'with measures' projection.

<sup>b</sup> 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.

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

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

<sup>e</sup> Additional information may be provided on the cost of the mitigation actions and the relevant timescale.

<sup>f</sup> 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

(paragraphs 28-30):

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.

30. Parties may report sensitivity analysis for any of the projections, but should aim to limit the number of scenarios presented. Parties may provide the results of a sensitivity analysis for the total reported GHG emissions together with a brief explanation on the methodologies and parameters used. (EU)

### C. Presentation of projections relative to actual data

(paragraphs 31-33):

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

32. For the ‘with measures’ and ‘with additional measures’ projections, the starting point should generally ~~the latest year for which inventory data are available in the national communication~~ the most recent inventory year. For the ‘without measures’ projection, the starting point may be 1995, or (NZ) Parties may provide a ‘without measures’ projection starting from an earlier year such as (NZ) 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.

33. 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

(paragraphs 34-38):

34. Projections shall be presented on a sectoral basis, ~~to the extent possible, using~~. **To the extent possible, the sectors should be** (USA) the same sectoral categories used in the ~~policies and measures section~~ **GHG inventories** (EU, USA).

35. Projections shall be presented on a gas-by-gas basis for the following greenhouse gases: CO<sub>2</sub>, CH<sub>4</sub>, N<sub>2</sub>O, PFCs, HFCs, ~~and~~ SF<sub>6</sub> **and NF<sub>3</sub>** (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.

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.

37. In view of the objective of the Convention and the intent to modify longer-term trends in emissions and removals, **Parties should include historical emissions and removals information on a quantitative basis for the 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 (NZ). Parties should include projections on a quantitative basis 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 (i.e. 2020, 2025, 2030, 2035).** Projections should be presented in a tabular format by sector and gas for each of these years, together with actual data for the period 1990 to ~~2000 or~~ (NZ) the latest year available. **The tabular format used shall be consistent with Tables 6 of the common tabular format for biennial reports (tables 2 below).** 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.

**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.

**Placeholder:** proposed text by the EU

### Information on updated greenhouse gas projections under a ‘with measures’ scenario<sup>a</sup>

[illegible]



|  | GHG emissions and removals <sup>b</sup><br>(kt CO <sub>2</sub> eq) |      |      |      |      |      |       | GHG emission projections <sup>c</sup><br>(kt CO <sub>2</sub> eq) |                   |     |     |     |
|--|--|------|------|------|------|------|-------|--|-------------------|-----|-----|-----|
|  | Base<br>year   | 1990 | 1995 | 2000 | 2005 | 2010 | [...] | 20XX <sup>d</sup>  | 20YY <sup>e</sup> | ... | ... | ... |
| N <sub>2</sub> O emissions excluding<br>N <sub>2</sub> O from LULUCF |  |      |      |      |      |      |       |  |                   |     |     |     |
| HFCs   |  |      |      |      |      |      |       |  |                   |     |     |     |
| PFCs   |  |      |      |      |      |      |       |  |                   |     |     |     |
| SF <sub>6</sub>  |  |      |      |      |      |      |       |  |                   |     |     |     |
| Other (specify, e.g. NF <sub>3</sub> )                               |  |      |      |      |      |      |       |  |                   |     |     |     |
| Total with LULUCFh   |  |      |      |      |      |      |       |  |                   |     |     |     |
| Total without LULUCF   |  |      |      |      |      |      |       |  |                   |     |     |     |

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

<sup>a</sup> 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 2\(b\) and/or 2\(c\)](#), respectively. If a Party does not choose to report ‘without measures’ or ‘with additional measures’ scenarios then it should not include [tables 2\(b\) or 2\(c\)](#) in the [national communications](#).

<sup>b</sup> 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 national communication](#)][[chapter IV of these guidelines](#)](NZ). Where the sectoral breakdown differs from that reported in the GHG inventory Parties should explain in their [biennial report][[national communication](#)](NZ) how the inventory sectors relate to the sectors reported in this table.

<sup>c</sup> Parties should include projections on a quantitative basis 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.

<sup>d</sup> The most recent inventory year.

<sup>e</sup> A year that ends in either a 0 or a 5, following to the most recent inventory year.

Reporting years for projection (20YY) = the most recent inventory year + (5 – the most recent inventory year mod 5) + 5n

Where:

n = 0, 1, 2 ...k

k ≥ 2

<sup>f</sup> 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.

<sup>g</sup> 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.

<sup>h</sup> Parties may choose to report total emissions with or without LULUCF, as appropriate.

**Table 2(b)**  
**Information on updated greenhouse gas projections under a ‘without measures’ scenario<sup>a</sup>**

|   | GHG emissions and removals <sup>b</sup> |      |      |      |      |      |       |                   |                   |
|---|---|------|------|------|------|------|-------|-------------------|-------------------|
|   | (kt CO <sub>2</sub> eq)                 |      |      |      |      |      |       |                   |                   |
|   | Base year                               | 1990 | 1995 | 2000 | 2005 | 2010 | [...] | 20XX <sup>d</sup> | 20YY <sup>e</sup> |
| <b>Sector</b> <sup>f,g</sup>  |   |      |      |      |      |      |       |                   |                   |
| Energy  |   |      |      |      |      |      |       |                   |                   |
| Transport   |   |      |      |      |      |      |       |                   |                   |
| Industry/industrial processes                                       |   |      |      |      |      |      |       |                   |                   |
| Agriculture   |   |      |      |      |      |      |       |                   |                   |
| Forestry/LULUCF   |   |      |      |      |      |      |       |                   |                   |
| Waste management/waste  |   |      |      |      |      |      |       |                   |                   |
| Other (specify)   |   |      |      |      |      |      |       |                   |                   |
| <b>Gas</b>  |   |      |      |      |      |      |       |                   |                   |
| CO <sub>2</sub> emissions including net CO <sub>2</sub> from LULUCF |   |      |      |      |      |      |       |                   |                   |
| CO <sub>2</sub> emissions excluding net CO <sub>2</sub> from LULUCF |   |      |      |      |      |      |       |                   |                   |
| CH <sub>4</sub> emissions including CH <sub>4</sub> from LULUCF     |   |      |      |      |      |      |       |                   |                   |
| CH <sub>4</sub> emissions excluding CH <sub>4</sub> from LULUCF     |   |      |      |      |      |      |       |                   |                   |
| N <sub>2</sub> O emissions including N <sub>2</sub> O from LULUCF   |   |      |      |      |      |      |       |                   |                   |
| N <sub>2</sub> O emissions excluding N <sub>2</sub> O from LULUCF   |   |      |      |      |      |      |       |                   |                   |
| HFCs  |   |      |      |      |      |      |       |                   |                   |
| PFCs  |   |      |      |      |      |      |       |                   |                   |
| SF <sub>6</sub>   |   |      |      |      |      |      |       |                   |                   |
| Other (specify, e.g. NF <sub>3</sub> )                              |   |      |      |      |      |      |       |                   |                   |
| <b>Total with LULUCF</b> <sup>h</sup>                               |   |      |      |      |      |      |       |                   |                   |

| GHG emissions and removals <sup>b</sup> |             |             |             |             |             |              |                         |                         |  |
|---|-------------|-------------|-------------|-------------|-------------|--------------|-------------------------|-------------------------|--|
| (kt CO <sub>2</sub> eq)                 |             |             |             |             |             |              |                         |                         |  |
| <i>Base year</i>                        | <i>1990</i> | <i>1995</i> | <i>2000</i> | <i>2005</i> | <i>2010</i> | <i>[...]</i> | <i>20XX<sup>d</sup></i> | <i>20YY<sup>e</sup></i> |  |
| <b>Total without LULUCF</b>             |             |             |             |             |             |              |                         |                         |  |

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

<sup>a</sup> 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 2(b) and/or 2(c)**, respectively. If a Party does not choose to report ‘without measures’ or ‘with additional measures’ scenarios then it should not include **tables 2(b) or 2(c)** in the **national communication**.

<sup>b</sup> 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 national communication**][**chapter IV of these guidelines**](NZ). Where the sectoral breakdown differs from that reported in the GHG inventory Parties should explain in their [biennial report][**national communication**](NZ) how the inventory sectors relate to the sectors reported in this table.

<sup>c</sup> Parties should include projections on a quantitative basis 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.

<sup>d</sup> The most recent inventory year.

<sup>e</sup> A year that ends in either a 0 or a 5, following to the most recent inventory year.

Reporting years for projection (20YY) = the most recent inventory year + (5 – the most recent inventory year mod 5) + 5n

Where:

n = 0, 1, 2 ...k

k ≥ 2

<sup>f</sup> 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.

<sup>g</sup> 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.

<sup>h</sup> Parties may choose to report total emissions with or without LULUCF, as appropriate.

**Table 2(c)**
**Information on updated greenhouse gas projections under a ‘with additional measures’ scenario<sup>a</sup>**

|   | GHG emissions and removals <sup>b</sup> |             |             |             |             |             | GHG emission projections <sup>c</sup> |                         |                         |
|---|---|-------------|-------------|-------------|-------------|-------------|---------------------------------------|-------------------------|-------------------------|
|   | (kt CO <sub>2</sub> eq)                 |             |             |             |             |             | (kt CO <sub>2</sub> eq)               |                         |                         |
|   | <i>Base year</i>                        | <i>1990</i> | <i>1995</i> | <i>2000</i> | <i>2005</i> | <i>2010</i> | <i>[...]</i>                          | <i>20XX<sup>d</sup></i> | <i>20YY<sup>e</sup></i> |
| <b>Sector<sup>f,g</sup></b>   |   |             |             |             |             |             |                                       |                         |                         |
| ____Energy  |   |             |             |             |             |             |                                       |                         |                         |
| Transport   |   |             |             |             |             |             |                                       |                         |                         |
| Industry/industrial processes                                       |   |             |             |             |             |             |                                       |                         |                         |
| Agriculture   |   |             |             |             |             |             |                                       |                         |                         |
| Forestry/LULUCF   |   |             |             |             |             |             |                                       |                         |                         |
| Waste management/waste  |   |             |             |             |             |             |                                       |                         |                         |
| Other (specify)   |   |             |             |             |             |             |                                       |                         |                         |
| <b>Gas</b>  |   |             |             |             |             |             |                                       |                         |                         |
| CO <sub>2</sub> emissions including net CO <sub>2</sub> from LULUCF |   |             |             |             |             |             |                                       |                         |                         |
| CO <sub>2</sub> emissions excluding net CO <sub>2</sub> from LULUCF |   |             |             |             |             |             |                                       |                         |                         |
| CH <sub>4</sub> emissions including CH <sub>4</sub> from LULUCF     |   |             |             |             |             |             |                                       |                         |                         |
| CH <sub>4</sub> emissions excluding CH <sub>4</sub> from LULUCF     |   |             |             |             |             |             |                                       |                         |                         |
| N <sub>2</sub> O emissions including N <sub>2</sub> O from LULUCF   |   |             |             |             |             |             |                                       |                         |                         |
| N <sub>2</sub> O emissions excluding N <sub>2</sub> O from LULUCF   |   |             |             |             |             |             |                                       |                         |                         |
| HFCs  |   |             |             |             |             |             |                                       |                         |                         |
| PFCs  |   |             |             |             |             |             |                                       |                         |                         |
| SF <sub>6</sub>   |   |             |             |             |             |             |                                       |                         |                         |
| Other (specify, e.g. NF <sub>3</sub> )                              |   |             |             |             |             |             |                                       |                         |                         |
| <b>Total with LULUCF<sup>h</sup></b>                                |   |             |             |             |             |             |                                       |                         |                         |

|                      | GHG emissions and removals <sup>b</sup> |                         |      |      |      |      |       | GHG emission projections <sup>c</sup> |                   |
|----------------------|---|-------------------------|------|------|------|------|-------|---------------------------------------|-------------------|
|                      |   | (kt CO <sub>2</sub> eq) |      |      |      |      |       | (kt CO <sub>2</sub> eq)               |                   |
|                      | Base year                               | 1990                    | 1995 | 2000 | 2005 | 2010 | [...] | 20XX <sup>d</sup>                     | 20YY <sup>e</sup> |
| Total without LULUCF |   |                         |      |      |      |      |       |                                       |                   |

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

<sup>a</sup> 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 2\(b\) and/or 2\(c\)](#), respectively. If a Party does not choose to report ‘without measures’ or ‘with additional measures’ scenarios then it should not include [tables 2\(b\) or 2\(c\)](#) in the [national communication](#).

<sup>b</sup> 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 national communication](#)][[chapter IV of these guidelines](#)](NZ). Where the sectoral breakdown differs from that reported in the GHG inventory, Parties should explain in their [biennial report][[national communication](#)](NZ) how the inventory sectors relate to the sectors reported in this table.

<sup>c</sup> Parties should include projections on a quantitative basis 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.

<sup>d</sup> The most recent inventory year.

<sup>e</sup> A year that ends in either a 0 or a 5, following to the most recent inventory year.

Reporting years for projection (20YY) = the most recent inventory year + (5 – the most recent inventory year mod 5) + 5n

Where:

n = 0, 1, 2 ...k

k ≥ 2

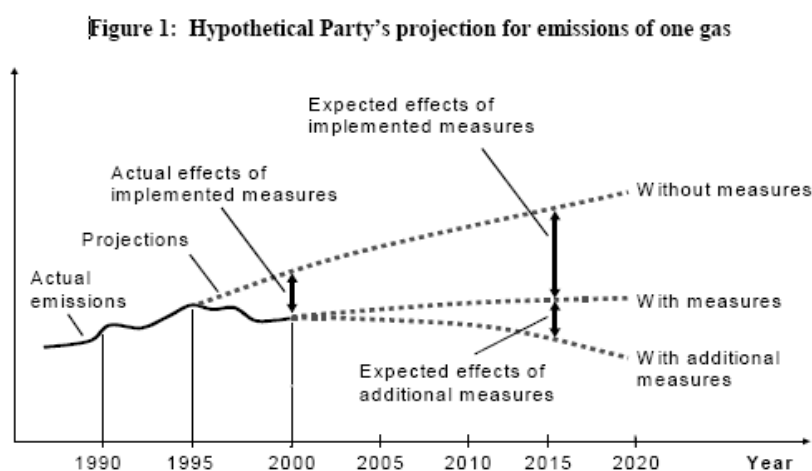
<sup>f</sup> In accordance with paragraph 34 of the “Guidelines for the preparation of national communications by Parties included in Annex I to the Convention, Part II: UNFCCC reporting guidelines on national communications”, projections shall be presented on a sectoral basis, to the extent possible, 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.

<sup>g</sup> 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.

<sup>h</sup> Parties may choose to report total emissions with or without LULUCF, as appropriate.

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 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. 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). It shows [‘with measures’ and ‘with additional measures’ scenarios starting from the most recent inventory year, and a ‘without measures’ scenario<sup>3</sup> starting from 1995.] (NZ) [‘with measures’, ‘with additional measures’ and a ‘without measures’ scenarios.] (USA)

**Proposal:** Figure 1 to be updated (EU, NZ)



## E. Assessment of aggregate effects of policies and measures

(paragraphs 39-41):

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. 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 CO<sub>2</sub> equivalent basis), ~~in 1995 and 2000, and should also be presented for 2005, 2010, 2015 and 2020 (NZ, USA)~~ [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) [in the most recent inventory year, and subsequent years that end

<sup>3</sup> 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.

in either a 0 or a 5, extending at least 20 years from the latest inventory year] (USA) (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**

### **(paragraphs 42-48):**

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](#). This information should be limited to that which is not covered under paragraph 48, i.e. it should not include sector-specific data.



48. To provide the reader with an understanding of emission trends in the years 1990 to at least 15 years from the latest inventory year, 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 3. Summary of key variables and assumptions used in the projections analysis<sup>a</sup>**

| Key<br>underlying<br>assumptions | Historical <sup>b</sup> |      |      |      |      |      |       |                   |                   |     |
|----------------------------------|-------------------------|------|------|------|------|------|-------|-------------------|-------------------|-----|
|                                  | 1990                    | 1995 | 2000 | 2005 | 2010 | 2011 | [...] | 20XX <sup>c</sup> | 20YY <sup>d</sup> | ... |

<sup>a</sup> Parties should include key underlying assumptions as appropriate.

<sup>b</sup> Parties should include historical data used to develop the greenhouse gas projections reported.

<sup>c</sup> The most recent inventory year.

<sup>d</sup> A year that ends in either a 0 or a 5, following to the most recent inventory year.

Reporting years for projection (20YY) = the most recent inventory year + (5 – the most recent inventory year mod 5) + 5n

Where:

n = 0, 1, 2 ...k

k ≥ 2

## VII. VULNERABILITY ASSESSMENT, CLIMATE CHANGE IMPACTS AND ADAPTATION MEASURES

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, the Global Programme of Research on Climate Change Vulnerability, Impacts and Adaptation (PROVIA), Guidance on Assessing Vulnerability, Impacts and Adaptation to Climate Change (EU) and the United Nations Environment Programme (UNEP) Handbook on Methods for Climate Change Impacts Assessment and Adaptation Strategies~~ ~~the United Nations Development Programme (UNDP), Adaptation policy frameworks for climate change: developing strategies, policies and measures (EU).~~ 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.

(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.

## VIII. FINANCIAL RESOURCES AND TRANSFER OF TECHNOLOGY

**(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

**(paragraphs 51-53):**

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 (NZ) 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.~~(NZ)

51bis: Each Annex II Party shall provide information on the financial support it has [provided, committed and/or pledged](NZ) [disbursed and committed ] (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 **tabular format (Tables 4, 4(a), 4(b) 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 4](#).

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 \(a\) and \(b\)](#).

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.

**Table 4**  
**Provision of public financial support: summary information in 20XX-3<sup>a</sup>**

|   |                   |            |            |                    |        |  |                   |            |            |                    | Year              |
|---|-------------------|------------|------------|--------------------|--------|--|-------------------|------------|------------|--------------------|-------------------|
| Allocation channels   |                   |            |            | Domestic currency  |        |  |                   |            |            |                    | USDb              |
|   |                   |            |            | Climate-specified  |        |  |                   |            |            |                    | Climate-specified |
|   | Core/<br>generalc | Mitigation | Adaptation | Cross-<br>cuttinge | Otherf |  | Core/<br>generalc | Mitigation | Adaptation | Cross-<br>cuttinge | Otherf            |
| Total contributions through multilateral channels:                        |                   |            |            |                    |        |  |                   |            |            |                    |                   |
| Multilateral climate change fundsg  |                   |            |            |                    |        |  |                   |            |            |                    |                   |
| Other multilateral climate change fundsh                                  |                   |            |            |                    |        |  |                   |            |            |                    |                   |
| Multilateral financial institutions, including regional development banks |                   |            |            |                    |        |  |                   |            |            |                    |                   |
| Specialized United Nations bodies   |                   |            |            |                    |        |  |                   |            |            |                    |                   |
| Total contributions through bilateral, regional and other channels        |                   |            |            |                    |        |  |                   |            |            |                    |                   |
| Total   |                   |            |            |                    |        |  |                   |            |            |                    |                   |

Abbreviation: USD = United States dollars.

<sup>a</sup> Parties should fill in a separate table for each year, namely 20XX-3 and 20XX-2, where 20XX is the reporting year.

<sup>b</sup> Parties should provide an explanation on methodology used for currency exchange for the information provided in table 4, 4(a) and 4(b) in the box below.

<sup>c</sup> This refers to support to multilateral institutions that Parties cannot specify as climate-specific.

<sup>d</sup> Parties should explain in their [biennial reports][[national communications](#)] how they define funds as being climate-specific.

<sup>e</sup> This refers to funding for activities which are cross-cutting across mitigation and adaptation.

<sup>f</sup> Please specify.

<sup>g</sup> Multilateral climate change funds listed in paragraph 17(a) of the “UNFCCC biennial reporting guidelines for developed country Parties” in decision 2/CP.17.

<sup>h</sup> Other multilateral climate change funds as referred in paragraph 17(b) of the “UNFCCC biennial reporting guidelines for developed country Parties” in decision 2/CP.17.

Each Party shall provide an indication of what new and additional financial resources they have provided, and clarify how they have determined that such resources are new and additional. Please provide this information in relation to [table 4\(a\)](#) and [table 4\(b\)](#).

Documentation box:

**Table 4(a)**[illegible]



**Table 4(a) (cont.)****Provision of public financial support: contribution through multilateral channels in 20XX-3<sup>a</sup>**

Specialized United Nations bodies

1. United Nations Development Programme  
(specific programmes)
2. United Nations Environment Programme  
(specific programmes)
3. Other

Subtotal

Total

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

<sup>a</sup> Parties should fill in a separate table for each year, namely 20XX-3 and 20XX-2, where 20XX is the reporting year.

<sup>b</sup> Parties should explain, in their [biennial reports][[national communications](#)](NZ), the methodologies used to specify the funds as provided, committed and/or pledged.

Parties will provide the information for as many status categories as appropriate in the following order of priority: provided, committed, pledged.

<sup>c</sup> Parties may select several applicable sectors. Parties may report sectoral distribution, as applicable, under “Other”.

<sup>d</sup> This refers to support to multilateral institutions that Parties cannot specify as climate-specific.

<sup>e</sup> Parties should explain in their [biennial reports][[national communications](#)](NZ) how they define funds as being climate-specific.

<sup>f</sup> Please specify.

<sup>g</sup> This refers to funding for activities which are cross-cutting across mitigation and adaptation.

**Table 4(b)****Provision of public financial support: contribution through bilateral, regional and other channels in 20XX-3<sup>a</sup>**

| Recipient country/<br>region/project/programme <sup>b</sup> | Total amount                  |     | Status <sup>c</sup>                | Funding<br>source                | Financial<br>instrument  | Type of<br>support   | Sector <sup>d</sup>   | Additional<br>Information <sup>e</sup> |
|---|-------------------------------|-----|------------------------------------|----------------------------------|--|--|---|--|
|   | Climate-specific <sup>f</sup> |     | Provided,<br>Committed,<br>Pledged | ODA<br>OOF<br>Other <sup>g</sup> | Grant<br>Concessional loan<br>Non-concessional<br>loan<br>Equity<br>Other <sup>g</sup> | Mitigation<br>Adaptation<br>Cross-cutting <sup>h</sup><br>Other <sup>g</sup> | Energy<br>Transport<br>Industry<br>Agriculture<br>Forestry<br>Water and sanitation<br>Cross-cutting<br>Other <sup>g</sup> |  |
|   | Domestic<br>currency          | USD |                                    |                                  |  |  |   |  |

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

<sup>a</sup> Parties should fill in a separate table for each year, namely 20XX-3 and 20XX-2, where 20XX is the reporting year.

<sup>b</sup> Parties should report, to the extent possible, on details contained in this table.

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

<sup>d</sup> Parties may select several applicable sectors. Parties may report sectoral distribution, as applicable, under “Other”.

<sup>e</sup> Parties should report, as appropriate, on project details and the implementing agency.

<sup>f</sup> Parties should explain in their [biennial reports][[national communications](#)] (NZ) how they define funds as being climate-specific.

<sup>g</sup> Please specify.

<sup>h</sup> This refers to funding for activities which are cross-cutting across mitigation and adaptation.

## B. Technology development and transfer

**(paragraphs 54-56):**

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 5 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.(NZ) 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.

**Table [5] [CTF table 8] Provision of technology development and transfer support<sup>a,b</sup> (NZ, USA)**

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

<sup>a</sup> To be reported to the extent possible.

<sup>b</sup> The tables should include measures and activities since the last national communication or biennial report.

<sup>c</sup> Parties may report sectoral disaggregation, as appropriate.

<sup>d</sup> 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.**  
**Description of selected projects or programmes that promoted practicable steps to facilitate and/or finance the transfer of, or access to, environmentally-sound technologies**

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

### **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 7 below) as a description of individual measures and activities.

**Table 7 Provision of capacity-building support<sup>a</sup>**

| <i>Recipient country/region</i> | <i>Targeted area</i>   | <i>Programme or project title</i> | <i>Description of programme or project<sup>b,c</sup></i> |
|---------------------------------|--|-----------------------------------|--|
|                                 | [Mitigation<br>Adaptation<br>Technology development and transfer<br>Multiple areas] (NZ) |                                   |  |
|                                 |  |                                   |  |

<sup>a</sup> To be reported to the extent possible.

<sup>b</sup> 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.

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

## **IX. RESEARCH AND SYSTEMATIC OBSERVATION**

**(paragraphs 57-64):**

**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. Research should only be addressed in section IX.

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.

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 (contained herein, see pages 101-108).

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**

**(paragraphs 61-62):**

61. Parties should provide information about general policy on and funding of research and systematic observation.

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.

### **B. Research**

**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. Research should only be addressed in section IX.

**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 should provide summary information on the current status of national plans, programmes 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.

**EU proposal:** Concerning Systematic Observation: As already explained in the overview it should be discussed and clarified what information should be included in the national communication related to GCOS and what is covered in separate GCOS reports for which separate guidelines exist. Paragraph 64 of FCCC/CP/1999/7 should be reviewed to clarify this.

## **X. EDUCATION, TRAINING AND PUBLIC AWARENESS**

**(paragraphs 65-66):**

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. In this section, Parties should report, *inter alia*, on public information and education materials, resource or information centres, training programmes, and participation in international activities. Parties may report the extent of public participation in the preparation or domestic review of the national communication.

66. The national communication 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.

**EU proposal:** The information required by the UNFCCC guidelines on reporting on education, training and public awareness should be revised to comprise the following elements:

- monitoring and review of Art6 implementation (e.g. results of “knowledge attitude practice/behaviour” surveys or other surveys that are carried out, promotion of best practices ...);
- information on funding received for the implementation of Article 6 and, where available, on the costs of Art6 implementation activities, in particular major initiatives;
- the priority thematic areas and target audiences;
- challenges in the implementation of Article 6 of the Convention;
- evaluation of the impacts of these activities;
- implementation of public participation.

## **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)**

### **Annex to the UNFCCC reporting guidelines on national communications**

#### **STRUCTURE OF THE NATIONAL COMMUNICATION**

##### **I. INTRODUCTION**

###### **A. Objectives**

## B. Structure

## II. EXECUTIVE SUMMARY

## III. NATIONAL CIRCUMSTANCES RELEVANT TO GREENHOUSE GAS EMISSIONS AND REMOVALS

Flexibility in accordance with Article 4.6 and 4.10

## IV. GREENHOUSE GAS INVENTORY INFORMATION

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

B. Descriptive summary

[C. National Inventory arrangements] (EU)

## V. POLICIES AND MEASURES

[A. Selection of policies and measures for the national communication

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

C. Policy-making process

D. Policies and measures and their effects

E. Policies and measures no longer in place]

[A. Policy-making process

B. Policies and measures and their effects (Table 1)

C. Policies and measures no longer in place] (NZ)

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

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

## VI. PROJECTIONS AND THE TOTAL EFFECT OF POLICIES AND MEASURES

A. [Purpose

B. Projections

C. Presentation of projections relative to actual data

D. Coverage and presentation

E. Assessment of aggregate effects of policies and measures

F. Methodology]

## TABLES.

Table 2 (a). Information on updated greenhouse gas projections under a ‘with measures’ scenario

Table 2(b). Information on updated greenhouse gas projections under a ‘without measures’ scenario

**Table 2(c). Information on updated greenhouse gas projections under a ‘with additional measures’ scenario**

**Table 3. Summary of key variables and assumptions used in the projections analysis**

- [A. Projections  
Diagrams
- B. Assessment of aggregate effects of policies and measures
- C. Methodology](NZ)

## VII. VULNERABILITY ASSESSMENT, CLIMATE CHANGE IMPACTS AND ADAPTATION MEASURES

- [A. Expected impacts of climate change
- B. Vulnerability Assessment
- C. Adaptation measures](NZ)
  
- [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)

## VIII. FINANCIAL RESOURCES AND TRANSFER OF TECHNOLOGY

- [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](NZ)

- [A. Finance
- B. Technology development and transfer
- C. Capacity building] (NZ)

**Table 4. Provision of public financial support: summary information in 20XX-3**

**Table 4(a). Provision of public financial support: contribution through multilateral channels in 20XX-3**

**Table 4(b). Provision of public financial support: contribution through bilateral, regional and other channels in 20XX-3**

**Table [5. Provision of technology development and transfer support] (NZ, USA)**

**Table 6. 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 7 Provision of capacity-building support**

**IX. RESEARCH AND SYSTEMATIC OBSERVATION**

- A. General policy on and funding of research and systematic observation**
- B. Research**
- C. Systematic observation**

**X. EDUCATION, TRAINING AND PUBLIC AWARENESS**

**XI. UPDATING OF THE GUIDELINES**

**[XII. STRUCTURE OF THE NATIONAL COMMUNICATION] (EU)**

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