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## **Subsidiary Body for Implementation**

**Forty-fourth session**

**Bonn, 16–26 May 2016**

Item 3(d) of the provisional agenda

**Reporting from and review of Parties included in Annex I to the Convention**

**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”**

### **Workshop 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”**

**Revised report by the secretariat**

#### *Summary*

This document covers the proceedings and outcomes of the workshop 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” held in Bonn, Germany, on 13 and 14 May 2016 and serves as input to the discussion on the revision of the guidelines at the forty-fourth session of the Subsidiary Body for Implementation. The workshop resulted in advancing the revision of the guidelines, as reflected in the annex.

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## I. Introduction

### A. Mandate and background

1. The aims 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”<sup>1</sup> (hereinafter referred to as the UNFCCC reporting guidelines on NCs) are to assist Parties included in Annex I to the Convention (Annex I Parties) in meeting their commitments under Articles 4 and 12 of the Convention, to promote the provision of consistent, transparent, accurate and complete information and to assist the Conference of the Parties (COP) in reviewing the implementation of the Convention.

2. COP 16 decided that developed country Parties should, building on existing reporting and review guidelines, processes and experiences, enhance the reporting in their national communications (NCs) and submit biennial reports (BRs) that outline their 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).<sup>2</sup>

3. COP 17 adopted the “UNFCCC biennial reporting guidelines for developed country Parties”<sup>3</sup> and COP 18 adopted the common tabular format (CTF) for the BRs.<sup>4</sup> The COP decided that developed country Parties should use those guidelines and CTF for preparing their BRs.<sup>5</sup> Further, COP 18 encouraged developed country Parties to ensure consistency, to the extent possible, between the information provided in their BRs and NCs.<sup>6</sup>

4. COP 17 requested the Subsidiary Body for Implementation (SBI) to begin, at its fortieth session, the revision of the UNFCCC reporting guidelines on NCs, on the basis of the experience gained in preparing the first BRs and other information, with a view to the revised guidelines being adopted at COP 20. It also requested the secretariat to prepare a technical paper<sup>7</sup> to facilitate the consideration at SBI 41 of the revision of the guidelines on NCs. The technical paper was published in November 2014.

5. In response to the invitations of COP 17<sup>8</sup> and SBI 40,<sup>9</sup> Parties (Greece and the European Commission on behalf of the European Union and its member States, Japan, New Zealand and United States of America) submitted their views on their experience with preparing their first BRs and on the revision of the guidelines in 2014.

6. SBI 42 invited Parties to submit further views on the revision of the UNFCCC reporting guidelines on NCs, taking into account the need to ensure consistency, to the extent possible, between the reporting requirements for BRs and NCs. It 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 discussion at SBI 42 so as to inform and facilitate further discussion at SBI 43, with a view to the revised guidelines being adopted at COP 21.<sup>10</sup>

<sup>1</sup> As adopted in decision 4/CP.5 and contained in document FCCC/CP/1999/7.

<sup>2</sup> Decision 1/CP.16, paragraph 40.

<sup>3</sup> Decision 2/CP.17, paragraph 12.

<sup>4</sup> Decision 19/CP.18, paragraph 1.

<sup>5</sup> Decisions 2/CP.17, paragraph 13, and 19/CP.18, paragraph 4.

<sup>6</sup> Decision 19/CP.18, paragraph 5.

<sup>7</sup> FCCC/TP/2014/5.

<sup>8</sup> Decision 2/CP.17, paragraph 17.

<sup>9</sup> FCCC/SBI/2014/8, paragraph 14.

<sup>10</sup> FCCC/SBI/2015/10, paragraphs 14–16.

7. SBI 42 recognized that if additional time beyond SBI 43 were required, owing to the technical nature of the UNFCCC reporting guidelines on NCs, Parties should aim to adopt the revised guidelines at COP 22 (November 2016). It requested the secretariat, in such a case, to organize a workshop prior to SBI 44, under the guidance of the Chair of the SBI, to advance the discussion on the revision of the guidelines.<sup>11</sup>

8. The updated technical paper referred to in paragraph 6 above, which includes the views submitted by Saudi Arabia,<sup>12</sup> was published and submitted to SBI 43.<sup>13</sup>

9. SBI 43 acknowledged the technical paper and reiterated the request to the secretariat to organize a workshop prior to SBI 44 to advance the discussion on the revision of the UNFCCC reporting guidelines on NCs using the technical paper. It also requested the secretariat to prepare a report on the workshop to serve as input to the discussion on the revision of the guidelines at SBI 44.<sup>14</sup>

10. The SBI agreed to continue its work on the revision of the UNFCCC reporting guidelines on NCs at SBI 44 with a view to finalizing the revised guidelines and recommending them for consideration and adoption at COP 22.<sup>15</sup>

## **B. Scope of the report**

11. This document covers the proceedings and outcomes of the pre-sessional workshop on the revision of the UNFCCC reporting guidelines on NCs mandated by the SBI as referred to in paragraphs 7 and 9 above.

12. The workshop participants discussed the revision of the UNFCCC reporting guidelines on NCs on the basis of the text contained in the annex to document FCCC/TP/2015/3. The proposed revisions of the UNFCCC reporting guidelines on NCs resulting from the discussion at the workshop are presented in the annex.

## **C. Possible action by the Subsidiary Body for Implementation**

13. SBI 44 may wish to use this workshop report as input to the discussion in advancing its work on the revision of the UNFCCC reporting guidelines on NCs.

# **II. Proceedings of the workshop**

14. The workshop, organized by the secretariat under the guidance of the Chair of the SBI, was held in Bonn, Germany, on 13 and 14 May 2016.

15. The Chair of the SBI, Mr. Tomasz Chruszczow, opened the workshop and the SBI coordinator, Ms. Katia Simeonova, welcomed the participants. The Chair reminded participants of the critical importance of the revised UNFCCC reporting guidelines on NCs being adopted at COP 22 to enable Annex I Parties to prepare their seventh national communications for submission by 1 January 2018.

16. At the request of the Chair, the workshop was co-facilitated by Ms. Fatuma Hussein (Kenya) and Ms. Helen Plume (New Zealand). Fifty-seven participants representing 46 Parties (23 Annex I Parties and 23 non-Annex I Parties) attended the workshop.

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<sup>11</sup> FCCC/SBI/2015/10, paragraph 17.

<sup>12</sup> The submission is available at <[www.unfccc.int/5900](http://www.unfccc.int/5900)>.

<sup>13</sup> FCCC/TP/2015/3.

<sup>14</sup> FCCC/SBI/2015/22, paragraphs 16–18.

<sup>15</sup> FCCC/SBI/2015/22, paragraph 19.

17. Following the opening of the workshop, the co-chairs explained the mandate from the COP for the work on the revision of the UNFCCC reporting guidelines on NCs by the SBI. The secretariat provided an overview of the current status of the work on the revision of the guidelines.

18. Following the presentation by the secretariat, participants, guided by co-facilitators, actively engaged in the discussions on the revision of the UNFCCC reporting guidelines on NCs using the text contained in the annex to document FCCC/TP/2015/3 as the basis. The work focused on the update of the UNFCCC reporting guidelines on NCs, harmonization of these guidelines with the UNFCCC biennial reporting guidelines for developed country Parties (hereinafter referred to as the UNFCCC reporting guidelines on BRs),<sup>16</sup> clarifying the linkages between the UNFCCC reporting guidelines on BRs and the UNFCCC reporting guidelines on NCs, where required, and highlighting the areas where specific textual proposals were needed.

19. All sections of the UNFCCC reporting guidelines on NCs were discussed and revised as reflected in the annex.

20. A summary of the key revisions are listed in paragraphs 20–28 below.

21. In section I, “Introduction”, part B, “Structure”, was moved to the end, becoming section XII.

22. In section III, “National circumstances relevant to greenhouse gas emissions and removals”, the order of headings to describe national circumstances has been revised.

23. In section IV, “Greenhouse gas inventory information”:

(a) Reference to the greenhouse gas (GHG) inventory reporting guidelines has been specified;

(b) It has been specified that GHG inventory information can be replicated from the Party’s BR;

(c) A subsection C, “National inventory arrangement”, has been added.

24. In section V, “Policies and measures”:

(a) Definitions of “planned, adopted and implemented” policies and measures have been specified;

(b) The paragraph on economic and social consequences of response measures from the UNFCCC reporting guidelines on BRs has been added;<sup>17</sup>

(c) The names of sectors throughout the UNFCCC reporting guidelines on NCs have been harmonized with those specified in the UNFCCC reporting guidelines on BRs;

(d) Table 1 of the UNFCCC reporting guidelines on NCs has been replaced with BR CTF table 3 on information on mitigation actions and their effects;

(e) The structure of the description of each policy and measure in the textual part of the NC has been rearranged and updated to mirror that in CTF table 3;

(f) Further guidance on the discussion of longer-term trends has been provided.

25. In section VI, “Projections”:

(a) The relevant years and figure 1 have been updated and GHGs and sectors of GHG projections have been harmonized with the UNFCCC reporting guidelines on BRs;

(b) The information that Parties may provide on sensitivity analyses has been specified.

<sup>16</sup> Decisions 2/CP.17 and 19/CP.18.

<sup>17</sup> See decision 2/CP.17, annex I, paragraph 8.

26. In section VII, “Vulnerability assessment, climate change impacts and adaption measures”:
- (a) Methodologies and guidance to be used have been specified;
  - (b) A reporting structure for this section, including the headings of subsections, has been included.
27. In section VIII, “Financial, technological and capacity-building support”:
- (a) Information, including the title of the section, has been harmonized with the UNFCCC reporting guidelines on BRs;
  - (b) Finance tables have been updated to reflect modifications to the BR CTF tables in decision 9/CP.21 (tables 6, 7 and 8 in the annex);
  - (c) CTF table 8 on technology transfer has been included;
  - (d) In section X, “Education and public awareness”, a new reporting aspect has been included: “Monitoring, review and evaluation of the implementation of Article 6 of the Convention”.
28. In section XII, “Structure of the national communications”:
- (a) A request to provide the secretariat with an electronic version of the national communication has been added;
  - (b) A paragraph on the supplementary documents provided as annexes to the NCs has been added.
29. Parties could not conclude on the following: (1) whether the effects of individual policies and measures shall be reported; (2) whether the defined structure of the NCs shall be followed; (3) whether English translation of the NCs should be provided, where appropriate; and (4) whether the information on research and systematic observation should be updated.
30. Furthermore, a Party expressed reservations in relation to the reporting of the impacts of individual policies and measures by gas until further clarification is received regarding which global warming potential values are to be used to convert the impact of GHGs to carbon dioxide equivalents.
31. In the final session of the workshop, the co-facilitators summarized the discussions that had taken place over the two days.
32. All documentation relating to the workshop, including background documents, the workshop agenda, the list of participants and the presentations made during the workshop, is available on the UNFCCC website.<sup>18</sup>

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<sup>18</sup> <<https://cms.unfccc.int/preview.php?id=9466>>.

## **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>**

**[UNEDITED]**

#### **I. 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).

#### **II. EXECUTIVE SUMMARY**

2. 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**

3. 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:

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<sup>1</sup> Parties's proposals for which text is yet to be provided are indicated in blue text and denoted as "placeholder".

- (a) Government structure: for example, roles and responsibilities of different levels of government, relevant inter-ministerial decision-making processes or bodies;
- (b) Population profile: for example, total population, density and distribution;
- (c) Economic profile: for example, gross domestic product (GDP), GDP per capita (expressed in domestic currency and purchasing power parities), GDP by sector, international trade patterns;
- (d) Geographic profile: for example, area, latitude, land-use and ecosystems;
- (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.

### **Flexibility in accordance with Article 4.6 and 4.10**

4. 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**

5. Summary information from the national greenhouse gas inventory prepared in accordance with the UNFCCC reporting guidelines on annual greenhouse gas inventory adopted through decision 24/CP.19<sup>2</sup>, and any relevant decisions adopted subsequently by the UNFCCC

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<sup>2</sup> “Guidelines for the preparation of national communications by Parties included in Annex I to the Convention, Part I: UNFCCC reporting guidelines on annual greenhouse gas inventories”, as contained in Annex I to decision 24/CP.19



Conference of the Parties (COP), shall be provided for the period from 1990 (or other base year) to the latest year in the most recent annual inventory submission available. The information provided in the national communication should be consistent with that provided in the most recent annual inventory submission available (the year prior to the due date of the submission of the national communication), and any differences should be fully explained.

6. 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 inventory reporting guidelines. Parties may elect to replicate this information reported in the biennial report submitted with the national communication. These tables may be provided as an annex, as part of the national communication rather than in the main text.

### **B. Descriptive summary**

7. 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 6 above. Parties should provide a description of the factors underlying emission trends.

### **C. National inventory arrangements**

8. Annex I Parties shall provide summary information on their national inventory arrangements in accordance with the reporting requirements related to national inventory arrangements contained in the UNFCCC reporting guidelines on annual greenhouse gas inventory and on the changes to these national inventory arrangements since their last national communication or biennial report.

## **V. POLICIES AND MEASURES**

### **A. Selection of policies and measures for the national communication**

9. 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 removals as a primary objective.

10. 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.

11. Policies and measures reported on should be those 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), adopted (those for which an official government decision has been made and there is a clear commitment to proceed with implementation) and/or planned (options under discussion or announced, and having a realistic chance of being adopted and implemented in future), by governments at national, state, provincial, regional and local level as applicable. Furthermore, policies and measures reported may also include those adopted in the context of regional or international efforts.

12. 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.

13. Each Annex I Party is encouraged to provide, to the extent possible, detailed information on the assessment of the economic and social consequences of response measures.

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

14. Parties shall organize the reporting of policies and measures by sectors, indicating which greenhouse gases (CO<sub>2</sub>, methane (CH<sub>4</sub>), nitrous oxide (N<sub>2</sub>O), hydrofluorocarbons (HFCs), perfluorocarbons (PFCs), sulphur hexafluoride (SF<sub>6</sub>), nitrogen trifluoride (NF<sub>3</sub>)) are affected by which policies. To the extent appropriate, the following sectors should be considered: energy, transport, industry/industrial processes, agriculture, forestry/LULUCF, waste management/waste, other sectors and cross-cutting. Each sector shall have its own textual description of the significant policies and measures, as set out in section D below, supplemented by table 1. Parties may include separate text and a table describing cross-sectoral policies and measures. Policies and measures influencing international transport GHG emissions should be reported in the transport sector.

15. 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, 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.

16. 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**

17. 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 or other relevant policy objectives may also be covered.

18. 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**

19. 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 of the policy or measure;*

(b) *Sector(s) affected.* To the extent possible, the following sectors should be used: energy, transport, industry/industrial processes, agriculture, forestry/LULUCF, waste management/waste, other sectors, cross-cutting, as appropriate;

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

(d) *Objective and/or activity affected.* 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;

(e) *Type of instrument.* To the extent possible, the following terms should be used: economic, fiscal, voluntary agreement, regulatory, information, education, research, other;

(f) *Status of implementation.* It should be noted whether the policy or measure is no longer in place, in the planning stage or is adopted or whether it is under implementation. For adopted and implemented measures, additional information may include the funds already provided, future budget allocated and the time-frame for implementation;

(g) *Brief description of the policy or measure;*

(h) *Start year of implementation;*

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

(j) *Estimate of mitigation impact (for a particular year, not cumulative, in kt CO<sub>2</sub> eq).*

20. In addition, in the description of each policy and measure or a set of complementary measures reported, Parties[should][shall] include, as appropriate, a quantitative estimate of the impacts of individual policies and measures or collections of policies and measures. Where the estimation is not possible, Parties shall provide the explanation of the reasons why the quantification is not possible. 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 that is a multiple of five or ten following the latest available annual inventory year.

21. 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.

22. In light of the information provided in paragraph 34, 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.

### **E. Policies and measures no longer in place**

23. 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**

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

*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 the policy or measure 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 policy or measure 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**

24. 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**

25. At a minimum, Parties shall report a ‘with measures’ projection, in accordance with paragraph 26 and may report ‘without measures’ and ‘with additional measures’ projections.

26. 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.

27. 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 reported GHG emissions together with a brief explanation on the methodologies and parameters used.

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

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

29. For the ‘with measures’ and ‘with additional measures’ projections, the starting point should generally be the most recent inventory year. Parties may provide a ‘without measures’ projection starting from an earlier year.

30. Parties should present their projections relative to unadjusted inventory data for the preceding years presented in the latest available annual submission. 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**

31. Projections shall be presented on a sectoral basis. To the extent possible, the sectors should be the same sectoral categories used in the GHG inventories.

32. 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, SF<sub>6</sub> and NF<sub>3</sub> (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 as well as for a national total, using global warming potential (GWP) values agreed upon by the Conference of the Parties.

33. 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.

34. 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 from 1990 (or other base year, as appropriate) to the latest year in the most recent annual inventory submission available (the most recent inventory year) . This information should be presented for the years 1990, 1995, 2000, 2005, 2010 and for the most recent inventory year. 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 most recent inventory year (e.g. 2020, 2025, 2030, 2035). Projections and historical emissions and removals information should be presented in a tabular format. The tabular format used shall be consistent with Tables 6(a), 6(b) and 6(c) of the common tabular format for biennial reports (tables 2, 3 and 4 below). For Parties using a base year different from 1990 for their inventories, in accordance with Article 4.6 of the Convention, inventory data for that year shall be given.

### Table 2

[illegible]



	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>	...	...
Other (specify, e.g. NF <sub>3</sub> )											
<b>Total with LULUCF<sup>h</sup></b>											
<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 3 and/or 4, respectively. If a Party does not choose to report ‘without measures’ or ‘with additional measures’ scenarios then it should not include tables 3 or 4 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 accordance with chapter IV of “Guidelines for the preparation of national communications by Parties included in Annex I to the Convention, Part II: UNFCCC reporting guidelines on national communications”. Where the sectoral breakdown differs from that reported in the GHG inventory, Parties should explain in their national communication 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 31 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 GHG inventories. This table should follow, to the extent possible, the same sectoral categories as those listed in paragraph 14 of those guidelines, namely, to the extent appropriate, the following sectors should be considered: energy, transport, industry/industrial processes, agriculture, forestry/LULUCF, waste management/waste, other sectors and cross-cutting.

<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 3

[illegible]

		GHG emissions and removals <sup>b</sup>							GHG emissions and removals		
		(kt CO <sub>2</sub> eq)							(kt CO <sub>2</sub> eq) <sup>c</sup>		
	Base year	1990	1995	2000	2005	2010	...	20XX <sup>d</sup>	20YY <sup>e</sup>	20ZZ <sup>f</sup>	...
<b>Total with LULUCF<sup>i</sup></b>											
<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 3 and/or 4, respectively. If a Party does not choose to report ‘without measures’ or ‘with additional measures’ scenarios then it should not include tables 3 or 4 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 accordance with chapter IV of “Guidelines for the preparation of national communications by Parties included in Annex I to the Convention, Part II: UNFCCC reporting guidelines on national communications”. Where the sectoral breakdown differs from that reported in the GHG inventory, Parties should explain in their national communication 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 or an earlier year, the most recent inventory year when the projections are started from an earlier 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 starting year of projections.

<sup>e</sup> The most recent inventory year, in case that projections are started from an earlier year.

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

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

Where:

n = 0, 1, 2 ...k

k ≥ 2

<sup>g</sup> In accordance with paragraph 31 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 GHG inventories. This table should follow, to the extent possible, the same sectoral categories as those listed in paragraph 14 of those guidelines, namely, to the extent appropriate, the following sectors should be considered: energy, transport, industry/industrial processes, agriculture, forestry/LULUCF, waste management/waste, other sectors and cross-cutting.

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

### Table 4

[illegible]

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>	...	...	...
<b>Total with LULUCF<sup>h</sup></b>											
<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 3 and/or 4, respectively. If a Party does not choose to report ‘without measures’ or ‘with additional measures’ scenarios then it should not include tables 3 or 4 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 accordance with chapter IV of “Guidelines for the preparation of national communications by Parties included in Annex I to the Convention, Part II: UNFCCC reporting guidelines on national communications”. Where the sectoral breakdown differs from that reported in the GHG inventory, Parties should explain in their national communication 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:

$$n = 0, 1, 2 \dots k$$

$$k \geq 2$$

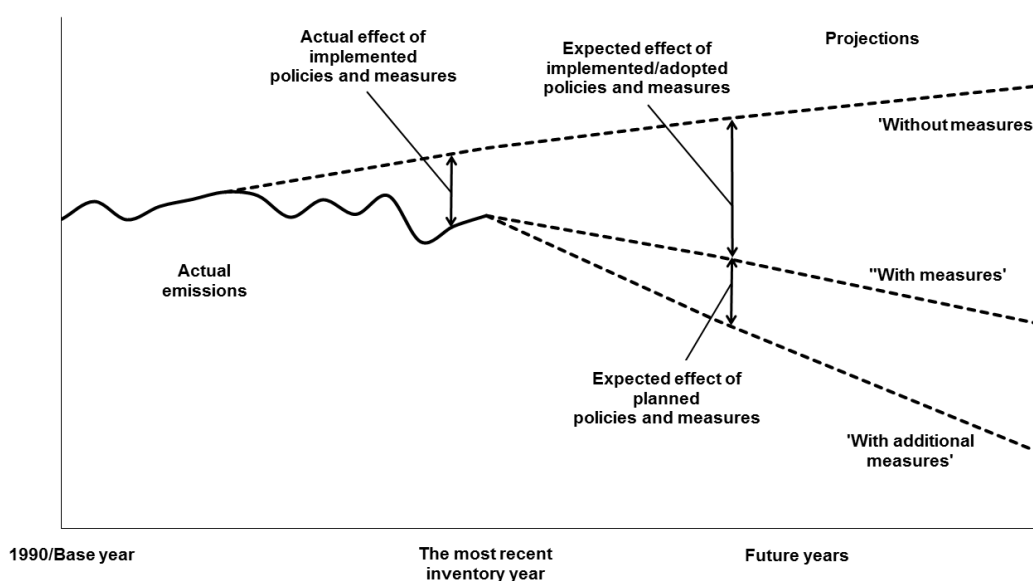
<sup>f</sup> In accordance with paragraph 31 of the “Guidelines for the preparation of national communications by Parties included in Annex I to the Convention, Part II: UNFCCC reporting guidelines on national communications”, projections shall be presented on a sectoral basis, to the extent possible, using the same sectoral categories used in the GHG inventories. This table should follow, to the extent possible, the same sectoral categories as those listed in paragraph 14 of those guidelines, namely, to the extent appropriate, the following sectors should be considered: energy, transport, industry/industrial processes, agriculture, forestry/LULUCF, waste management/waste, other sectors and cross-cutting.

<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.

35. Diagrams illustrating the information in paragraphs 31 to 34 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 projections of emissions. It shows unadjusted inventory data for the period 1990 to the latest available year. It shows ‘with measures’, ‘with additional measures’ and a ‘without measures’ scenarios.

**Figure 1. Hypothetical Party’s projection of emissions**



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

36. 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.

37. 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 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 (not cumulative savings). This information may be presented in tabular format..

38. 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**

39. 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.

40. 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.

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

42. 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.

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

44. 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 5. This information should be limited to that which is not covered under paragraph 45, i.e. it should not include sector-specific data.

45. To provide the reader with an understanding of emission trends in the years 1990 to at least 15 years from the most recent 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.

24 **Table 5. Summary of key variables and assumptions used in the projections analysis<sup>a</sup>**

<i>Key underlying assumptions</i>	<i>Historical<sup>b</sup></i>						<i>Projected</i>			
	<i>1990</i>	<i>1995</i>	<i>2000</i>	<i>2005</i>	<i>2010</i>	<i>...</i>	<i>20XX<sup>c</sup></i>	<i>20YY<sup>d</sup></i>	<i>...</i>	<i>...</i>

<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**

46. 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 and reference relevant methodologies and guidance on assessing climate change impacts, vulnerability, and adaptation measures. 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.

47. Parties are encouraged to use the following structure when reporting the information in this section.

- a) Climate modelling, projections and scenarios: for example, updated information on climate modelling, climate projections and scenarios, relevant to assessment of climate change impacts and vulnerability;
- b) Assessment of risks and vulnerability to climate change: for example, updated information on key economic, social, and/or environmental vulnerabilities or risks related to current and expected climate change impacts;
- c) Climate change impacts: for example, updated information on both observed and potential future impacts of climate change;
- d) Domestic adaptation policies and strategies: for example, updated information on progress on adaptation policies, strategies or plans that illustrate the Party's medium- and long-term approach to address risks and vulnerability through its broader domestic development and sector planning;
- e) Monitoring and evaluation framework: for example, updated information on approaches for monitoring and evaluation of the implemented adaptation strategies or plans;
- f) Progress and outcomes of adaptation action: for example, updated information on adaptation measures taken to address current risks and vulnerabilities and on their status of implementation; updated information on progress, and where possible, outcomes, and effectiveness of already implemented adaptation measures.

## **VIII. FINANCIAL, TECHNOLOGICAL AND CAPACITY-BUILDING SUPPORT**

48. Parties included in Annex II to the Convention (Annex II Parties) shall provide information on the provision of financial, technological and capacity-building support to non-Annex I Parties, including information to show how this support is new and additional. In reporting such information, Parties should distinguish, to the extent possible, between support provided to non-Annex I Parties for mitigation and adaptation activities, noting the capacity-

building elements of such activities, where relevant. For activities with multiple objectives, the funding could be reported as a contribution allocated partially to the other relevant objectives.

49. 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.

50. In reporting information in accordance with paragraphs 52 and 53 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**

51. 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.

52. Each Annex II Party shall provide information on the financial support it has disbursed and committed 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 (Tables 6, 7, 8 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.

53. Each Annex II Party shall provide the summary information, referred to in paragraph 52 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.

54. 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 6.

55. 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.

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

**Table 6**  
**Provision of public financial support: summary information in 20XX-3<sup>a</sup>**

Year										
Allocation channels	Domestic currency					USD <sup>b</sup>				
	Core/ general <sup>c, 1</sup>	Climate-specific <sup>d, 2</sup>				Core/ general <sup>c</sup>	Climate-specific <sup>d, 2</sup>			
		Mitigation	Adaptation	Cross-cutting <sup>e</sup>	Other <sup>f</sup>		Mitigation	Adaptation	Cross-cutting <sup>e</sup>	Other <sup>f</sup>
Total contributions through multilateral channels:										
Multilateral climate change funds <sup>g</sup>										
Other multilateral climate change funds <sup>h</sup>										
Multilateral financial institutions, including regional development banks										
Specialized United Nations bodies										
Total contributions through bilateral, regional and other channels										
Total										

*Note: Explanation of numerical footnotes is provided in the documentation box after tables 6, 7 and 8.*

*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 tables 6, 7 and 8 in the documentation box.

<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 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 52(a) 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” in decision X/CP.22.

<sup>h</sup> Other multilateral climate change funds as referred in paragraph 52(b) 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” in decision X/CP.22.

**Table 7**  
**Provision of public financial support: contribution through multilateral channels in 20XX-3<sup>a</sup>**

	Total amount				Status <sup>b, 3</sup>	Funding source <sup>d</sup>	Financial instrument <sup>5</sup>	Type of support <sup>6</sup>	Sector <sup>e, 7</sup>
	Core/general <sup>d, 1</sup>		Climate-specific <sup>e, 2</sup>				Grant		Energy
							Concessional	Mitigation	Transport
Donor funding	Domestic currency	USD	Domestic currency	USD	Committed Disbursed	ODA OOF Other <sup>f</sup>	loan Non-concessional loan Equity Other <sup>f</sup>	Adaptation Cross-cutting <sup>g</sup> Other <sup>f</sup>	Industry Agriculture Forestry Water and sanitation Cross-cutting Other <sup>f</sup> Not applicable
Multilateral climate change funds									
1. Global Environment Facility									
2. Least Developed Countries Fund									
3. Special Climate Change Fund									
4. Adaptation Fund									
5. Green Climate Fund									
6. UNFCCC Trust Fund for Supplementary Activities									
7. Other multilateral climate change funds									
Subtotal									
Multilateral financial institutions, including regional development banks									
1. World Bank									
2. International Finance Corporation									
3. African Development Bank									
4. Asian Development Bank									
5. European Bank for Reconstruction and Development									
6. Inter-American Development Bank									
7. Other									
Subtotal									

**Table 7 (cont.)**  
**Provision of public financial support: contribution through multilateral channels in 20XX-3<sup>a</sup>**

	Total amount				Status <sup>b, 3</sup>	Funding source <sup>4</sup>	Financial instrument <sup>5</sup>	Type of support <sup>6</sup>	Sector <sup>c, 7</sup>
	Core/general <sup>d, 1</sup>		Climate-specific <sup>e, 2</sup>						
	Domestic currency	USD	Domestic currency	USD					
Donor funding					Committed Disbursed	ODA OOF Other <sup>f</sup>	Grant Concessional loan Non-concessional loan Equity Other <sup>f</sup>	Mitigation Adaptation Cross-cutting <sup>g</sup> Other <sup>f</sup>	Energy Transport Industry Agriculture Forestry Water and sanitation Cross-cutting Other <sup>f</sup> Not applicable
Specialized United Nations bodies									
1. United Nations Development Programme (specific programmes)									
2. United Nations Environment Programme (specific programmes)									
3. Other									
Subtotal									
Total									

*Note: Explanation of numerical footnotes is provided in the documentation box after tables 6, 7 and 8.*

*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 explain, in their national communications, the methodologies used to specify the funds as disbursed and committed. Parties will provide the information for as many status categories as appropriate in the following order of priority: disbursed and committed.

<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 national communications 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.

32 **Table 8**  
**Provision of public financial support: contribution through bilateral, regional and other channels in 20XX-3<sup>a</sup>**

Recipient country/ region/project/programme/activity <sup>b</sup>	Total amount		Status <sup>c, 3</sup>	Funding source <sup>d</sup>	Financial instrument <sup>e</sup>	Type of support <sup>f</sup>	Sector <sup>d, 7</sup>	Additional Information <sup>e</sup>
	Climate-specific <sup>f, 2</sup>		Committed	ODA	Grant	Mitigation	Energy	
			Disbursed	OOF	Concessional loan	Adaptation	Transport	
				Other <sup>g</sup>	Non-concessional loan	Cross-cutting <sup>h</sup> Other <sup>g</sup>	Industry	
					Equity		Agriculture	
					Other <sup>g</sup>		Forestry	
	Domestic	USD					Water and sanitation	
	currency						Cross-cutting	
							Other <sup>g</sup>	

*Note: Explanation of numerical footnotes is provided in the documentation box after tables 6, 7 and 8.*

*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 national communications, the methodologies used to specify the funds as disbursed and committed. Parties will provide the information for as many status categories as appropriate in the following order of priority: disbursed and committed.

<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 national communications, 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.



### Documentation box

1: Core/general
2: Climate-specific
3: Status
4: Funding source
5: Financial instrument
6: Type of support
7: Sector
Each Party shall provide an indication of what new and additional financial resources it has provided and clarify how it has determined that such resources are new and additional. Please provide this information in relation to tables 7 and 8.

## **B. Technology development and transfer**

57. 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] [shall, where feasible, report activities related to technology transfer, including success and failure stories], using Table 9.

58. Each Annex II Party shall provide, in textual and tabular formats (table 10 below), information on measures and activities related to technology transfer implemented or planned since its last national communication or biennial report. In reporting such measures and activities, Annex II Parties shall, to the extent possible, provide information on the recipient country, the target area of mitigation or adaptation, the sector involved and the sources of technology transfer from the public or private sectors, and shall distinguish between activities undertaken by the public and private sectors. 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.

**Table 9.**  
**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>			

<p><b>Impact on greenhouse gas emissions/sinks (optional):</b></p>
--

**Table 10. Provision of technology development and transfer support<sup>a,b</sup>**

<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>
	<i>Mitigation Adaptation Mitigation and adaptation</i>		<i>Energy Transport Industry Agriculture Water and sanitation Other</i>	<i>Private Public Private and public</i>	<i>Private Public Private and public</i>	<i>Implemented Planned</i>	

<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.

### **C. Capacity-building**

59. 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 11 below) as a description of individual measures and activities.

**Table 11. 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>
	<i>Mitigation</i>		
	<i>Adaptation</i>		
	<i>Technology development and transfer</i>		
	<i>Multiple areas</i>		

<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

**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 66 and the paragraphs before (60 to 65) may be shortened and streamlined. Research should only be addressed in section IX.

60. 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.

61. 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.

62. Parties shall provide summary information on global climate observing system activities in accordance with paragraph 67 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).

63. 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

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

65. 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 66 and the paragraphs before (60 to 65) may be shortened and streamlined. Research should only be addressed in section IX.

**Placeholder:** proposed text by the EU

66. 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**

67. 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(paragraph 67 in this Annex) should be reviewed to clarify this.

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

68. 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.

69. 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.
- (e) Monitoring, review and evaluation of the implementation of Art.6 of the Convention.

## **XI. UPDATING OF THE GUIDELINES**

70. 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.

## **XII. STRUCTURE OF THE NATIONAL COMMUNICATION**

71. The information identified in these guidelines shall be communicated by a Party in a single document in one of the official languages of the United Nations. Parties shall provide an electronic version of their national communication to the secretariat through the appropriate UNFCCC submission system. 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 facilitate the consideration process.

72. Annex I Parties [may] [are encouraged to] also submit to the secretariat, where relevant, a translation of their national communication into English.

73. Where supplementary documents are provided as annexes to the national communication, the annexes are considered as part of the national communication itself. A clear reference to the relevant information in the annexes should be provided in the body of the national communication.

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

75. To facilitate transparency, comparability and consistency of national communications, Parties [shall] [should] structure their national communication following the chapter 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.

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

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

#### **I. OBJECTIVES**

#### **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
- B. Descriptive summary
- C. National Inventory arrangements

#### **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

Table 1. Summary of policies and measures by sector

#### **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

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

Table 3. Information on updated greenhouse gas projections under a ‘without measures’ scenario

Table 4. Information on updated greenhouse gas projections under a ‘with additional measures’ scenario

Table 5. Summary of key variables and assumptions used in the projections analysis

Figure 1. Hypothetical Party’s projection of emissions

#### **VII. VULNERABILITY ASSESSMENT, CLIMATE CHANGE IMPACTS AND**

## ADAPTATION MEASURES

## VIII. FINANCIAL, TECHNOLOGICAL AND CAPACITY-BUILDING SUPPORT

- A. Finance
- B. Technology development and transfer
- C. Capacity-building

Table 6. Provision of public financial support: summary information in 20XX-3

Table 7. Provision of public financial support: contribution through multilateral channels in 20XX-3

Table 8. Provision of public financial support: contribution through bilateral, regional and other channels in 20XX-3

Table 9. 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 10. Provision of technology development and transfer support

Table 11 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

## ANNEX. Supplementary documents