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## NATIONAL COMMUNICATIONS

### COMMUNICATIONS FROM PARTIES NOT INCLUDED IN ANNEX I TO THE CONVENTION

#### Guidelines for preparation of initial communications from non-Annex I Parties

#### Draft decision submitted by the Group of 77 and China

The Subsidiary Body for Scientific and Technological Advice,  
The Subsidiary Body for Implementation,

*Recalling* Articles 4.1(a), 12.1, 12.5 and 12.7 of the United Nations Framework Convention on Climate Change, and decision 8/CP.1 on first communications from Parties not included in Annex I to the Convention,

*Recalling also* decision 4/CP.1 on Methodological issues,

*Noting* that in accordance with Article 12.5, each Party not included in Annex I shall make its initial communication within three years of the entry into force of the Convention for that Party, or of the availability of financial resources in accordance with Article 4, paragraph 3, and that, Parties that are least developed may make their initial communication at their discretion,

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*Recognizing* that, in accordance with Article 4.7, the extent to which developing country Parties will effectively implement their commitments under the Convention will depend on the effective implementation by developed country Parties of their commitments under the Convention related to financial resources and transfer of technology and will take fully into account that economic and social development and poverty eradication are the first and overriding priorities of the developing country Parties,

*Considering* that from its first session, in accordance with Article 12.7, the Conference of the Parties shall arrange for the provision to developing country Parties of technical and financial support, on request, in compiling and communicating information under this Article, as well as in identifying the technical and financial needs associated with proposed projects and response measures under Article 4. Such support may be provided by other Parties, by competent international organisations and by the secretariat, as appropriate,

1. *Request*

(a) The secretariat, in accordance with Article 8.2(c), to facilitate assistance to the Parties, particularly developing country Parties, in the preparation of their initial communications, through the organisation of workshops at the regional level, to provide a forum for the exchange of experiences in the development of emission factors and activity data for the estimation of the inventory, as well as, on request, for other elements of information in the initial communication, and provide a report to the Subsidiary Body for Scientific and Technological Advice at each of its sessions; and

(b) The Secretariat to make available to the Subsidiary Body for Implementation at each of its sessions, details of the financial support made available to Parties not included in Annex I from the interim operating entity of the financial mechanism for the preparation of their initial communication, including projects proposed by each Party, the funding decision and the date and amount of funds made available to the Party.

2. *Recommend*

(a) That the second session of the Conference of the Parties adopt the guidelines for the preparation of initial communication from Parties not included in Annex I;

(b) That the Parties not included in Annex I to the Convention should use the guidelines contained in the annex to the present decision when preparing their initial communications under the Convention;

(c) That the national and regional development priorities, objectives and circumstances of the Parties not included in Annex I should, in accordance with Article 4.1, and the provisions of Article 3 and Article 4.3, 4.5, 4.7, 4.8, 4.9 and 4.10, be taken into account by the Conference of the Parties (COP); and

(d) That the Parties not included in Annex I and who wish to submit voluntarily additional information may use elements from the guidelines approved for Parties included in Annex I when preparing their initial communications;

Annex I to decision ...

Guidelines for the preparation of initial communications from Parties not included in Annex I

1. The guidelines for the preparation of initial communications by Parties not included in Annex I have five principal objectives, taking into account Article 4.7:

(a) To assist Parties not included in Annex I in meeting their commitments under Article 12.1;

(b) To encourage the presentation of information in ways that are, to the extent possible, consistent, transparent and comparable as well as flexible, to take into account specific national situations and requirements for support to improve the completeness and reliability of activity data, emission factors and estimations;

(c) To serve as policy guidance to the interim operating entity of the financial mechanism for the timely provision of financial support, including for the transfer of technology, needed by the developing country Parties to meet the agreed full costs in complying with their obligations under Article 12.1;

(d) To facilitate the process of preparation, compilation and consideration of the communications, including the preparation of compilation and synthesis documentation; and

(e) To ensure that the COP has sufficient information to carry out its responsibilities to assess the overall aggregated effects of the steps taken by the Parties in the light of the latest scientific assessments concerning climate change, and of the implementation of the Convention.

Scope

2. In accordance with Article 12.1, the communication should include:

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

(b) A general description of steps taken or envisaged by the Party to implement the Convention; and

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

### National circumstances

3. In presenting the information, Parties not included in Annex I should specify their national and regional development priorities, objectives and circumstances on the basis of which they will address the adverse impacts of climate change. The description of these circumstances can cover a wide range of information. In addition to information which can be conveniently presented in a table (table I), Parties may present basic geographical and climatic information, as well as other factors relevant to climate change of any nature such as, for example, features of their economy which may affect their ability to deal with climate change.
4. Parties not included in Annex I may provide a brief description of existing institutional arrangements which are relevant to the preparation of the inventory on a continuing basis, or a list of perceived deficiencies in this area.
5. Parties not included in Annex I may also present information on their specific needs and concerns arising from the adverse effects of climate change and/or the impact of the implementation of response measures, specially on:
- (a) Small island countries;
  - (b) Countries with low-lying coastal area;
  - (c) Countries with arid and semi-arid areas, forested areas and areas liable to forest decay;
  - (d) Countries with areas prone to natural disasters;
  - (e) Countries with areas liable to drought and desertification;
  - (f) Countries with areas of high urban atmospheric pollution;
  - (g) Countries with areas with fragile ecosystems, including mountainous ecosystems;
  - (h) Countries whose economies are highly dependent on income generated from the production, processing and export, and/or on consumption of fossil fuels and associated energy-intensive products;
  - (i) Landlocked and transit countries; and
  - (j) Other special considerations foreseen in paragraph 4.9 (least developed countries) and 4.10 (fossil-fuel dependency), as appropriate.

6. In presenting the information, wherever applicable, Parties not included in Annex I should present numerical indicators. For example they might use a classification in terms of percentage of the land area, percentage of the population affected, and/or percentage of gross domestic product (GDP), etc.

#### Inventory

7. The Guidelines for the National Greenhouse Gas Inventories and Technical Guidelines for Assessing Climate Change Impacts and Adaptations or the simplified default methodologies adopted by the Intergovernmental Panel on Climate Change (IPCC) should be used by non-Annex I Parties, as appropriate and to the extent possible, in the fulfilment of their commitments under the Convention.

8. We should recognize that in order to prepare information relating to a national inventory, the capacity of developing countries vary widely in relation to their technical, financial as well as institutional capacities. In this connection, there is a clear need for adequate and additional financing resources, technical support and technology transfer to supplement the efforts towards capacity building and preparation of a national inventory.

9. Parties not included in Annex I should strive to present the best available, to the extent their capacity permits, and try to identify the areas where the data may be further improved in the future communications by national capacity building.

10. The methodology for the national inventories of emissions by sources and removals by sinks of greenhouse gases to be used is that developed by the IPCC. Special note is taken of the fact that such methodology will be reviewed during 1996. Additional information such as, for example, expression of the results in terms of socio-economic, geographical indicators deemed relevant by each country may also be provided.

11. As recognized by the IPCC in its Second Assessment Report, anthropogenic emissions from non-fossil origins are still the object of greater uncertainty than those of fossil origin, and also because such non-fossil emissions tend to play a relatively greater role in national emissions of Parties not included in Annex I, such Parties should make efforts to obtain field observational data to decrease the uncertainties associated with the inventory of emissions of N<sub>2</sub>O in all relevant sectors; CH<sub>4</sub> from fugitive emissions from fuel, industrial processes, agriculture, land-use change and forestry, and waste sectors; and CO<sub>2</sub> emissions from industrial processes, land-use change and forestry, and waste sectors.

12. It is further recognized that such improvement of the quality of emission data, in addition to improving the transparency and comparability of national emission inventories, also brings about a global benefit by improving knowledge of the relationship between global emissions and resulting atmospheric concentration of greenhouse gases, and therefore aids

significantly the task of estimating the emission limitations or reductions required to achieve a given concentration level the same greenhouse gases, the ultimate objective of the Convention.

13. Non-Annex I Parties are thus encouraged to formulate national, and where appropriate, regional programs aiming at the improvement of the quality of local emission factors and extensive data gathering, and to submit requests for financial and technical assistance to the financial mechanism of the Convention in association with their request for support for the preparation of the national communications.

14. Parties not included in Annex I are encouraged to include in their national inventories the fully-fluorinated compounds, as appropriate. Other greenhouse gases included in the IPCC methodology may be included at the discretion of the Parties.

15. According to the IPCC methodology, emissions from bunker fuels (aviation and marine) should be reported in addition to national emissions.

16. The year 1994 should be the base year for inventories. However, Parties not included in Annex I who have prepared their inventory for the year 1990 may present this data in their initial communication, with a view to including the best available data.

#### General description of steps

17. The initial communication should contain a general description of steps taken or envisaged to implement the Convention. This may include:

(a) Programmes related to sustainable development, research and systematic observation, education and public awareness, training, etc.

(b) Policy options for adequate monitoring systems and response strategies for climate change impacts on terrestrial and marine ecosystems;

(c) Policy frameworks for implementing adaptation measures and response strategies in the context of coastal zone management, disaster preparedness, agriculture, fisheries, and forestry, with a view to integrating climate change impact information, as appropriate, into national planning processes;

(d) In the context of undertaking national communications, building of national, regional and/or sub-regional capacity, as appropriate, to integrate climate change concerns in medium and long-term planning.

### Financial and technological needs and constraints

18. Non-Annex I Parties may describe the financial and technological needs and constraints associated with the communication of information. In particular, and following the evolving recommendations of the COP through its subsidiary bodies, the description may cover the needs and constraints associated with the further improvement of national communications, including the reduction of the margin of uncertainty in emission and removal variables through appropriate institutional and capacity building.

19. According to national priorities, Parties not included in Annex I may include a description of financial and technological needs associated with activities and measures envisaged under the Convention.

20. Information on measures to facilitate adequate adaptation to climate change may be added, indicating national technological needs.

21. Assessment of national, regional and/or sub-regional vulnerability to climate change may be added, including, where appropriate, reliance on related data-gathering systems to measure climate change effects in particularly vulnerable countries or regions and strengthening of such systems as necessary; and identification of a near-term research and development agenda to understand sensitivity to climate change, indicating relevant financial and technological needs.

### Other information

22. The initial communication may identify programmes containing measures the Party believes contribute to addressing the adverse impacts of climate change, including abatement of increase in greenhouse gas emissions and enhancement of removals by sinks, so that the COP, in accordance with Article 12.7, can arrange for the provision of financial and technical needs associated with proposed projects and response measures under Article 4. These actions need not have as a primary objective the limitation of greenhouse gas emissions.

23. Developing country Parties may, in accordance with Article 12.4, on a voluntary basis, propose projects for financing, including specific technologies, materials, equipment, techniques or practices that would be needed to implement such projects, along with, if possible, an estimate of all incremental costs, of the reductions of emissions and increments of removals of greenhouse gases, as well as an estimate of the consequent benefits.

24. Parties not included in Annex I may provide any other information relevant to the achievement of the objective of the Convention, including, if feasible, material relevant for calculation of global emission trends, constraints and obstacles, etc.



### Vulnerability

25. There is a need to take into full consideration the circumstances and vulnerabilities of developing countries Parties, keeping in mind that the Convention stipulates that the implementation of the commitments by Annex I Parties is a pre condition for the fulfilment of the obligations of developing country Parties.

### Timing of submission of initial communication

26. In accordance with Article 12.5, the timing for submission of initial communications is within three years of entry into force for that Party or of the availability of financial resources in accordance with Article 4.3.

### Structure and executive summary

27. The information provided in accordance with these guidelines should be communicated by a Party to the COP in a single document. Any additional or supporting information may be supplied through other documents such as a technical annex.

28. The initial communication should included an executive summary that would present the key information and data from the full document. The executive summary will be translated and distributed widely. It would be useful to envisage an executive summary of no more than 10 pages.

### Language

29. The communications may be submitted in one of the official languages of the United Nations. Parties not included in Annex I are also encouraged to submit, to the extent possible and where relevant, a translation of their communication into English.

Table I - National Circumstances

Criteria	1994
Population	
Relevant areas (square kilometres)	
GDP (1994 US\$ )	
GDP per capita (1994 US\$ )	
Estimated share of the informal sector in the economy in GDP (percentage)	
Share of industry in GDP (percentage)	
Share of services in GDP (percentage)	
Share of agriculture in GDP (percentage)	
Land area used for agricultural purposes (square kilometres)	
Urban population as percent of total population	
Livestock population (disaggregate as appropriate)	
Forest area (square kilometres, define as appropriate)	
Population in absolute poverty	
Life expectancy at birth (years)	
Literacy rate	

Table II - Initial National Greenhouse Gas Inventories

Initial National Greenhouse Gas Inventories (Gigagram per year)				
Greenhouse Gas Source and Sink Categories	CO <sub>2</sub>	CH <sub>4</sub>	N <sub>2</sub> O	
<b>Total (Net) National Emission</b>	X	X	X	
<b>1. All Energy</b>	X	X	X	
<i>Fuel Combustion</i>				
Energy and Transformation Industries	X		X	
Industry	X			
Transport	X			
Commercial-Institutional	X			
Residential	X			
Other	X	X		
Biomass Burned for Energy		X		
<i>Fugitive Fuel Emission</i>				
Oil and Natural Gas Systems		X		
Coal Mining		X		
<b>2. Industrial Processes</b>	X		X	
<b>3. Agriculture</b>		X	X	
<i>Enteric Fermentation</i>		X		
<i>Rice Cultivation</i>		X		
<i>Savannah Burning</i>		X		
<i>Others</i>		X	X	
<b>4. Land Use Change and Forestry</b>	X			
<i>Changes in Forest and other woody biomass stock</i>	X			
<i>Forest and Grassland Conversion</i>	X			
<i>Abandonment of Managed Lands</i>	X			
<b>5. Other Sources as appropriate and to the extent possible</b>	X	X		

Note 1: X - Data to be presented to the extent the Party's capacities permit (Article 12.1(a)).

Note 2: Non-Annex I national communications will include the information in this table, and a description of assumptions and methods used, and the values of emission coefficients, where these differ from IPCC assumptions, methods and values.