

United Nations Framework Convention on Climate Change

UNFCCC **RESOURCE GUIDE**

**FOR PREPARING THE
NATIONAL COMMUNICATIONS
OF NON-ANNEX I PARTIES**

**MODULE 1
THE PROCESS OF
NATIONAL COMMUNICATIONS
FROM NON-ANNEX I PARTIES**



UNFCCC

United Nations Framework Convention on Climate Change

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MODULE 1:

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I. INTRODUCTION

1.1 ABOUT THE MODULE

This module was developed, as a guide to assist Parties not included in Annex I to the Convention (Non-Annex I Parties) in the preparation of their national communications, in accordance with Article 4, paragraph 1 and Article 12, paragraph 1 of the Convention. It is the first in a series of modules developed on the various elements of a national communication (e.g. vulnerability and adaptation, national greenhouse gas (GHG) inventories, and measures to mitigate climate change) to act as a guide for non-Annex I Parties in preparation of their national communications.

This module can be read alone or together with the other modules of the series, which together form the “*Resource guide for preparing the national communications of non-Annex I Parties*”, hereafter referred to as Resource Guide.

This module is intended to act as a supplement to “Reporting on climate change: user manual for the guidelines on national communications from non-Annex I Parties”,¹ (hereinafter referred to as User Manual) which was written to facilitate the use of the UNFCCC guidelines for the preparation of national communications from Parties not included in Annex I to the Convention (annexed to decision 17/CP.8, hereinafter referred to as UNFCCC Guidelines). The aim of the Resource Guide is to provide an entry point to the considerable additional material that has been produced since the User Manual was first published at the ninth session of the Conference of the Parties (COP 9) in 2003, and is intended to be read as an overarching document, supported by various other sources.

1.2 AIMS

The aims of this module are:

- a) To provide an overview of the national communication preparation process (i.e. tasks, activities and outputs);
- b) To understand better the objectives, agreed strategy and expected outputs and outcomes of the national communication preparation process;
- c) To highlight the need for cooperation and collaboration between and among the various stakeholders in the preparation of national communications.

After reading this module readers should:

- a) Understand fully the national communication preparation process;
- b) Understand the scope of the information required in national communications;
- c) Familiarize themselves with the various tasks and/or activities that need to be performed in the preparation of national communications;
- d) Fully appreciate the involvement and participation of the various stakeholders in the preparation of national communications;
- e) Recognize that the preparation of national communication provides an opportunity to design, develop, plan and implement a national climate change project;
- f) Have gained an overview of the four key areas: project preparation and design, implementation strategy and delivery mechanism, project management, and presentation of results.

1.3 KEY SOURCES OF RELATED INFORMATION

The User Manual outlines the formal requirements for drafting national communications. Other related information includes:

- 1) “UNFCCC guidelines for the preparation of national communications from Parties not included in Annex I to the Convention (Non-Annex I Parties)”, contained in decision 17/CP.8. <http://unfccc.int/resource/docs/cop8/07a02.pdf#page=2>.
- 2) Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention (CGE) documents and training material. http://unfccc.int/national_reports/non-annex_i_natcom/cge/items/2608.php.
- 3) Decision 6/CP.8 of the Conference of the Parties relating to “*Additional guidance to an operating entity of the financial mechanism*”. <http://unfccc.int/resource/docs/cop8/07a01.pdf#page=15>.
- 4) The Global Environment Facility “*Operational Guidelines for Expedited Financing of the National Communications from non-Annex I Parties*”. <http://www.thegef.org/interior.aspx?id=16752>.
- 5) UNFCCC framework for technology transfer. <http://unfccc.int/resource/docs/cop7/13a01.pdf#page=22>.
- 6) UNFCCC framework for capacity-building. <http://unfccc.int/resource/docs/cop7/13a01.pdf#page=5>.
- 7) “*New Delhi work programme on Article 6 of the Convention*”. <http://unfccc.int/resource/docs/cop8/07a01.pdf#page=23>.
- 8) Intergovernmental Panel on Climate Change (IPCC) technical guidelines and resource material on national greenhouse gas inventories, climate change impacts, vulnerability and adaptation assessments, and measures to mitigate climate change. <http://www.ipcc.ch/ipccreports/methodology-reports.htm>.

1.4 WHAT IS EXPECTED AND WHAT WILL BE ACHIEVED

This module provides a guide to the preparation of national communications from non-Annex I Parties. However, the way in which this module will be used will depend, among other reasons, on the national circumstances of the non-Annex I Parties. Therefore, it is expected that this module will facilitate the preparation of national communications as well as engender improved reporting of projects identified for adaptation to, and mitigation of, climate change. The four modules in this resource guide are:

1. The National Communication Process from Non-Annex I Parties;
2. Vulnerability and Adaptation to Climate Change;
3. National Greenhouse Gas Inventory;
4. Measures to Mitigate Climate Change.

Additionally, there are a number of cross-cutting issues, which form an integral element of the national communication, that are not included in these modules. These are: research and systematic observation; transfer of technology; education, training and public awareness; capacity-building; and information and networking. These issues are also presented in the UNFCCC Guidelines, and further elaborated in the template on reporting of cross-cutting issues. Readers are therefore encouraged to consult the “Template on cross-cutting themes in national communications from Parties not included in Annex I to the Convention”.²

¹ http://unfccc.int/national_reports/non-annex_i_natcom/guidelines_and_user_manual/items/2607.php.

² FCCC/SBI/2007/3. <http://unfccc.int/resource/docs/2007/sbi/eng/03.pdf>.

II. WHAT IS A NATIONAL COMMUNICATION?

2.1 REQUIREMENT OF THE CONVENTION

A national communication is a report that each Party to the Convention prepares periodically in accordance with the guidelines developed and adopted by the Conference of the Parties (COP). Specifically, a national communication is a commitment of each Party (in accordance with Article 12, paragraph 1, of the Convention) to provide the following elements of information to the Conference of the Parties, as set out in Article 4, paragraph 1, of the Convention:

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

In the context of (a) above, and in accordance with the UNFCCC Guidelines, non-Annex I Parties are to report on the following GHGs: carbon dioxide, methane, nitrous oxide and precursor gases.³ The extent to which non-Annex I Parties report on halocarbons will depend on the availability of data and financial resources.

With regard to (b) above, when reporting on the general description of steps taken or envisaged, non-Annex I Parties may provide information in their national communication on programmes containing measures that facilitate adequate adaptation to climate change and programmes containing measures that mitigate climate change.

With respect to any other information, as mentioned in (c) above, and in accordance with the UNFCCC Guidelines, non-Annex I Parties are to provide information on their contribution to and participation in research and systematic observations; their implementation of the framework for transfer of technology for adaptation and mitigation; actions and issues relating to climate change education, training and public awareness, capacity-building and information and networking.

2.2 RATIONALE

The national communication is a vital medium for the exchange of information on how each Party is implementing the Convention and also for highlighting the issues, problems, gaps and constraints thereof, faced by non-Annex I Parties. The national communication is the most effective tool and means for the implementation of the Convention. It also provides the COP with the information it requires to assess the overall aggregated effects of the implementation of the Convention.

The national communication helps non-Annex I Parties to meet their reporting requirements, and serves as a medium for the presentation of information in a consistent, transparent, comparable and flexible manner. It also facilitates the presentation of the information which guides the Global Environment Facility (GEF), as an operating entity of the financial mechanism of the Convention, in providing financial resources towards meeting the implementation costs of the Convention.

2.3 GUIDELINES FOR NATIONAL COMMUNICATIONS

When the UNFCCC was adopted at the United Nations Conference on Environment and Development (June 1992) in Rio de Janeiro, Brazil, it was opened for signing by all countries. On 21 March 1994, the UNFCCC came into force, requiring signatory Parties to carry out any number of tasks and/or activities relating to the implementation of the Convention. One of the commitments of all Parties, as contained in Article 4, paragraph 1 and Article 12, paragraph 1 of the Convention, is to communicate information in a consistent, transparent, comparable and flexible manner to the COP. In this context, the first guidelines for the preparation of national communications from non-Annex I Parties were adopted at the second session of the COP, in decision 10/CP.2. These guidelines were used to prepare the initial communications from non-Annex I Parties.

By 2006, almost 10 years since the adoption of decision 10/CP.2, most non-Annex I Parties had completed and submitted their initial national communications to the COP through the secretariat. During the same period, three non-Annex I Parties⁴ also completed and submitted their second national communications (SNCs).

In 1999, at the fifth session of the COP, negotiations on the process of reviewing the guidelines for the preparation of the national communications from non-Annex I Parties began. Additionally, the COP established the Consultative Group of Experts on national communications from Parties not included in Annex I to the Convention (CGE) to improve the process of preparation of national communications from non-Annex I Parties.⁵

The revised guidelines for the preparation of national communications from non-Annex I Parties (UNFCCC Guidelines) were adopted at the eighth session of the COP. This means that the preparation of second national communications from non-Annex I Parties will be facilitated by these guidelines, which are contained in the annex to decision 17/CP.8. The UNFCCC Guidelines also provided guidance to the GEF regarding the provision of financial resources to support the preparation of the national communications from non-Annex I Parties.

With guidance from the UNFCCC, the GEF operationalized the financing of national communications from non-Annex I Parties through its “Operational Procedures for the Expedited Financing of National Communications from non-Annex I Parties” (GEF/C.22/Inf.16) – hereinafter referred to as GEF Operational Procedures. This document outlines the procedures for accessing up to USD 405,000 for the preparation of national communications from non-Annex I Parties, to be expanded within three years. Additionally, each non-Annex I Party is eligible for USD 15,000 to support stocktaking activities and national consultations required for the development of a project proposal for the second national communication. Parties that had not yet completed and submitted their initial national communication will now have to use the UNFCCC Guidelines (decision 17/CP.8) to prepare them.⁶

The frequency of completion and submission of the national communications from non-Annex I Parties is determined by the timeframes set by the COP, in accordance with, Article 12, paragraph 5, of the Convention. Regarding the submission of the second national communication, non-Annex I Parties should submit their second and subsequent (third) national communications within four years of receipt of financial resources for the actual preparation of the national communication. Parties may also apply for a one year extension if they are unable to complete their national communication within the four-year period (decision 8/CP.11).⁷ Therefore, in effect, Parties may submit their second and, where appropriate, third national communications within five years of receipt of financial resources for the actual preparation of the national communication. Decision 8/CP.11 also provides that any extension to the time period should not imply additional financial resources from the GEF.⁸ Least developed country Parties may submit their second national communications at their discretion.

³ Carbon monoxide, non-methane volatile organic compounds, oxides of nitrogen, oxides of sulfur, halocarbons and sulfur hexafluoride.

⁴ Argentina, Mexico, Republic of Korea.

⁵ Decision 8/CP.5 (<http://unfccc.int/resource/docs/cop5/06a01.pdf#page=17>).

⁶ For example Timor-Leste.

⁷ <http://unfccc.int/resource/docs/2005/cop11/eng/05a01.pdf#page=17>.

⁸ There is provision within the Operational procedures for expedited financing of the second national communication from non-Annex I Parties to revisit the 3-year project cycle for the second national communication depending on the decision of the COP on the timeframes for the submission of the national communication.

2.4 MAIN ELEMENTS OF INFORMATION

The scope of information to be presented in the national communication established by Article 12, paragraph 1 of the Convention is outlined in [SECTION II.1](#) above. However, given the critical importance of the climate change issues now facing many non-Annex I Parties, the needs and scope for the provision of information in national communications has increased over the 10 years since the Convention came into force. This is reflected in the number of COP decisions requesting Parties to provide information in their national communications⁹ on the various aspects of climate change impacts and responses. Thus, the role of national communications as a medium for highlighting the myriad of existing, emerging and evolving needs of developing countries is likely to continue growing for the foreseeable future. While provision of information might be considered burdensome, it is important that non-Annex I Parties respond to these COP decisions and provide the required information in their national communications, taking into account their national circumstances.

While the main aim of the national communications is to fulfill the obligations of the Parties under the Convention, it also provides a Party with an opportunity to present information on national programmes, policies and plans, as well as using the information to develop projects addressing climate change and facilitating adequate adaptation to climate change, either at the national or sectoral level. Thus national communications can be considered to be national planning documents that address critical climate change issues at a national level, and which have the potential to attract financial resources to support the implementation of the Convention.

2.5 NATIONAL COMMUNICATION PROCESS

2.5.1 GETTING STARTED

Following the UNFCCC Guidelines and GEF Operational Procedures, the GEF operationalizes the financing of the national communications from non-Annex I Parties. The GEF Operational Procedures provide a guide for developing project proposals for second national communications. Parties are informed by either a circular/letter from the GEF, through the GEF focal points, or through an announcement at a session of the COP and its subsidiary bodies (SBs), about the availability of funds to prepare national communications. The GEF also informs its Implementing Agencies (IAs)¹⁰ that the funds are available, and that the IAs should help non-Annex I Parties to access the funds in order to prepare their national communications.

Upon request by a non-Annex I Party, the IA submits a request to the GEF for funding for the preparation of the national communication. The first of these activities is to conduct stocktaking of all activities and programmes supported by the GEF relating to the initial national communication, and to hold national stakeholder consultations in developing a national communication project proposal. When the proposal is completed, a project document is prepared and submitted to the GEF to request funding for preparing the national communication. The funding available through the GEF for this activity is USD 15,000.

The GEF and its IAs have amended their procedures in order to fast-track the approval process for the national communications from non-Annex I Parties. Thus, national communications are enabling activities of the GEF and are currently supported on an agreed full-cost basis through expedited procedures with up to USD 405,000.¹¹ In this context, the Chief Executive Officer can administratively approve the project within two weeks of receipt of the project document. Parties are then informed of the approval through the relevant IA, and preparations are made to disburse the funds to the relevant Party so that the actual preparation of the national communication can begin.

2.5.2 APPOINTMENT OF A NATIONAL CLIMATE CHANGE COORDINATOR

When funds are approved and received by the IAs, they follow their project implementation procedures at a country level. This is often in line with its country programme strategy and the relevant IA development assistance framework.¹² For the enabling activities such as the preparation of a national communication under the UNFCCC, the IAs often enforce national project implementation and/or project cooperation agreements. These agreements set out the working arrangements between the national entity responsible for the preparation of national communication and the IA.

Under such arrangements, one of the first activities of the project is to appoint a national project coordinator (NPC) or a project management team (PMT) to manage the implementation of the project. The NPC for the SNC should be a highly motivated, enthusiastic person, who is capable of working independently, and has a strong scientific/technical and policy background. The NPC should ideally have experience in the preparation of the initial national communication and/or in other climate change enabling activities. The NPC should also have the ability to work with a wide variety of people from governments, agencies, non-governmental organizations (NGOs), and research institutions.

The NPC should be appointed and installed by the ministry, department or agency responsible for dealing with climate change issues in the country. In most countries, the responsible agencies are usually those whose mandates cover the environment and the national meteorological and hydrological services. The NPC will be responsible for the overall management of all aspects of the project, and will provide technical assistance to the national technical (thematic) expert (working) groups.

Typically, the NPC's first task is to familiarize himself/herself with the project, its objectives, activities and timeframes. The NPC also prepares the budget covering all operational aspects of the project, and familiarizes themselves with the national project implementation agreements.

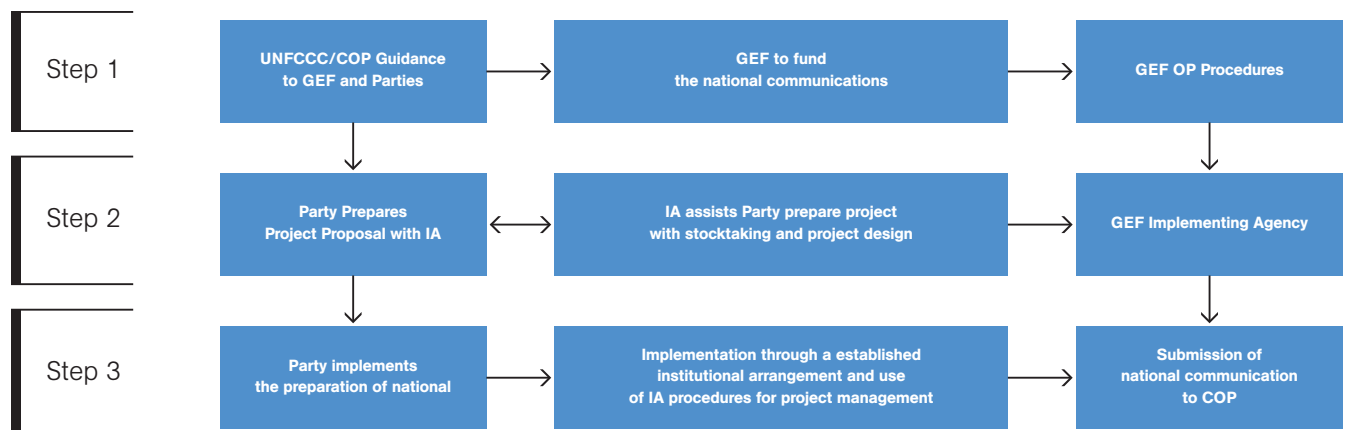
⁹ Decisions 2/CP.7; 4/CP.7; 5/CP.7; 13/CP.9; 3/CP.13; 9/CP.13; and 11/CP.13.

¹⁰ United Nations Development Programme (UNDP), United Nations Environment Programme (UNEP), and The World Bank (WB).

¹¹ All non-Annex Parties are each eligible for up to USD 405,000 to prepare their second national communications. This amount is approximately 15% higher than the USD 350,000 available for initial national communications.

¹² For instance, UNDP uses the UN Development Assistance Framework (UNDAF).

Figure II-1. National communication process



2.6 PROJECT INCEPTION WORKSHOPS

At the start of the project, a project inception workshop is often held with the following objectives:

- a) To brief the National Climate Change Coordinator (NCCC) and the Thematic Working Groups (TWGs) on the objectives, agreed strategy, expected outputs and outcomes, of the SNC project;
- b) To provide an opportunity for the stakeholders and partners to provide input on the work plan and to confirm implementation arrangements at the national and/or island/community/village levels;
- c) To provide an opportunity for engaging key stakeholders and to establish SNC TWGs to carry out the various tasks relating to the GHG inventory, steps taken and/or envisaged to both facilitate adequate adaptation and mitigate climate change, and any other information considered relevant to the achievement of the objectives of the Convention (cross-cutting issues);
- d) To provide a forum for participants to share knowledge, experiences, and difficulties/constraints in preparing initial national communication and how these can be overcome in the SNC process.

The inception workshop also provides the opportunity to launch the SNC project and usually lasts about 2 to 3 days. The number of days will depend on the programme, as countries often use the inception workshop as an avenue for exchange of information, public awareness and capacity-building on a number of technical and policy issues relating to the main elements of the national communication. Thus, the workshop is designed to introduce the project, key stakeholders, implementation agreements, delivery mechanisms and the agreed implementation strategy.

Depending on the programme of the inception workshop and the national circumstances of the country, the project inception usually focuses on the technical, management and policy aspects of the SNC project implementation.

2.7 VULNERABILITY AND ADAPTATION TO CLIMATE CHANGE

Another key technical area on which non-Annex I Parties work as part of the preparation of a national communication is the climate change vulnerability and adaptation (V&A) assessment. Such assessments provide information regarding the programmes that include measures to facilitate adequate adaptation to climate change. There are a number of critical issues which are essential for understanding issues relating to vulnerability and adaptation, but which are not the focus of this module. Thus, the reader is encouraged to consult [MODULE 2](#) of this Resource Guide ([Vulnerability and Adaptation to Climate Change](#)), which covers V&A analysis, scope and methodologies. In this module, the focus will be on the V&A as a process within the context of the national communication.

V&A issues are considered to be of highest priority in many vulnerable non-Annex I Parties (e.g. small island developing States (SIDS) and least developed countries (LDCs)). The national communication process thus provides an excellent basis for generating information and knowledge for national and/or sectoral adaptation policy decisions. Key elements of information to be reported in the national communication are outlined as follows: current climatic, socio-economic and natural systems; current vulnerability and adaptation; future risks; and adaptation policies, strategies and measures. In terms of adaptation projects, consideration should be given to those areas and/or sectors that are most critical and are of highest priority.

A number of methodologies and tools are available for use in conducting V&A assessments. Such methodologies include the IPCC technical guidelines on vulnerability and adaptation assessment and derived methodologies such as:

- a) The UNEP Handbook on Methods for Climate Change Impacts Assessment and Adaptation Strategies;
- b) International Handbook on Vulnerability and Adaptation Assessment;
- c) UNFCCC Handbook on Vulnerability and Adaptation Assessment;
- d) UNDP Adaptation Policy Framework;
- e) National Adaptation Programme of Action (NAPA) Guidelines.

Further information and links can be found in [MODULE 2](#) of this Resource Guide.

However, it is important to note that there is no single methodology that will serve the purposes of each country, and therefore the choice, selection and use will depend on the national circumstances of each country. Non-Annex I Parties can also use any national methodologies and tools that reflect their national circumstances provided that they are consistent, transparent, comparable, flexible and well documented.

The UNFCCC Guidelines and User Manual provide guidance on the information to be generated from the V&A assessment for inclusion in the national communication. However, further guidance on presenting the results of V&A assessment would enhance and facilitate reporting, including a clear description of data sources and methods used; consistent and transparent use of terminology; technically sound and policy-relevant elaboration of key vulnerabilities and adaptations; and sound representation of uncertainties.

2.7.1 LESSONS LEARNED AND GOOD PRACTICES

Many non-Annex I Parties have already conducted a V&A assessment in their initial national communications, and therefore should use the lessons learned and good practices that have been developed as a result. Good practices would aid the country teams in preparing and conducting their V&A assessments in the SNC process. A number of key messages should be highlighted. Examples of these measures include:

- a) Allowing sufficient time to consult with key stakeholders and to identify key technical and policy questions that will be addressed by V&A studies;
- b) Taking sufficient time to review alternative methodological frameworks, methods and tools in the light of the objectives of V&A studies;
- c) Selecting methodological frameworks, methods and tools that best serve the needs and purpose of the V&A studies, taking into account technical capacity; availability and quality of data, time and resources;
- d) Ensuring that key stakeholders have clear roles and responsibilities and are actively involved in the V&A studies;
- e) Undertaking a thorough review of existing information and data on V&A studies in the country;
- f) Ensuring good and effective communication and collaboration between and among groups/stakeholders involved in the V&A studies;
- g) Ensuring that the results of V&A studies are appropriately and effectively presented and/or disseminated;
- h) Ensuring that V&A assessment is “organic”, (i.e. prepared, used and improved or updated regularly, as resources permit);
- i) Integrating the V&A results into national and/or regional programmes, policies and strategies;
- j) Identifying the most vulnerable sectors/areas that are of highest priority for adaptation.

2.7.2 CONTRIBUTING TO ADAPTATION PROJECTS AND ADAPTATION DECISIONS

Of particular note is the need to use the information generated in V&A studies to develop adaptation projects, and to inform adaptation policy decisions. Thus, the critical issues that should be addressed during project development would include questions relating to existing government policies and/or regulatory frameworks, institutional frameworks, existing information and knowledge systems, level of and, mechanisms for stakeholder involvement, and the ability of the country/entity to provide co-financing support.

It should be emphasized that V&A studies not only fulfill obligations under the UNFCCC but also generate important information and knowledge regarding the vulnerability of sectors/areas and the capacity to adapt to the adverse impacts of climate change. V&A is closely linked to climate risk management, which is considered vital for sustainable development and also provides a good platform for adaptation project development and policy decisions.

The biggest challenge faced by non-Annex I Parties in respect of the V&A assessments is not the lack of specific and/or appropriate methodological frameworks, but whether or not sufficient and/or adequate capacities, capabilities and data exist that will enable effective use and/or application of these methodological frameworks within their specific situations. One of the major challenges relates to the issue of scale; i.e. for large countries and countries with numerous scattered islands, it would be difficult to cover the whole country, and therefore decisions have to be made about which areas/sectors should be included in the V&A studies. Therefore, analysis of the scope of the V&A assessment will be an important step in determining the scale of the V&A assessment in the country.

2.7.3 VULNERABLE SECTORS

Most non-Annex I Parties have already prepared their initial national communications, including V&A assessments, and have identified key vulnerable sectors/areas such as the coastal zones, fisheries, agriculture, water resources and human health. However, initial scoping and further review of climate change issues in each country may provide further sectors or areas for V&A studies. Key stakeholders that will be involved in the V&A studies include government ministries and departments, private sector representatives, academic and research institutions, NGOs, and local communities. Stakeholder roles and responsibilities will be determined and clarified when the thematic working groups on V&A are established. Provision of relevant data and information for V&A studies will be one of the key responsibilities of the stakeholders.

The main limitation with conducting a V&A assessment is the lack of or inadequate legislative/policy framework for climate change, lack of personnel with relevant expertise, and the lack of general awareness of climate change issues. Thus the national communication process could address some of these constraints through capacity-building and training.

Many countries have already started their V&A studies for the preparation of second, and where appropriate, third national communications, building on earlier studies undertaken under the initial national communication and other processes. Many countries have also indicated that further work is needed to improve understanding of the adverse impacts of climate change in vulnerable sectors or areas. In some countries, sufficient information is available for V&A studies, but the level of resources may not be adequate to allow for widening the scope of assessment.

2.7.4 ADAPTATION AS A SUSTAINABLE DEVELOPMENT ISSUE

A number of issues that concern measures to facilitate adequate adaptation are outlined below. Firstly, the impact of climate change is already being experienced by most non-Annex I Parties in various ways. There is growing recognition among non-Annex I Parties that dealing with climate change issues is one of the most pressing sustainable development challenges. Thus, the national communication process will provide the necessary strategic policy-relevant information for development planning and policy decision-making. Adaptation to climate change has long been considered a priority and, in this regard, vulnerability and adaptation assessments under the national communication process provide a solid platform for adaptation planning. The national communication process, therefore, will not only fulfill the obligations of non-Annex I Parties under the UNFCCC, but also provides a precursor for adaptation policy decisions.

It is believed that expectations for V&A studies go beyond the fulfillment of the obligations of the Parties to the UNFCCC. The V&A process can help alleviate the misconceptions that many communities, in each country, have about the impacts of climate change on livelihood systems. Therefore, capacity-building, training and public awareness in support of V&A studies is essential for the national communication process.

2.8 NATIONAL GREENHOUSE GAS INVENTORY PROCESS

The focus on key technical and policy issues often relate to planning and management of the national GHG inventory development so as to ensure long-term efficient use of resources and sustainability of the process.¹³ It is important for Parties to highlight key technical issues, including the difficulties and constraints associated with the use of the Revised 1996 IPCC Guidelines for National Greenhouse Gas Inventories, in particular for estimating emissions from Land Use, Land-Use Change and Forestry (LULUCF), Agriculture and Waste sectors. These constraints mainly arise from the inconsistencies in the IPCC classifications used (especially in the Agriculture and LULUCF sectors). In the Waste and Energy sectors, the problems are exacerbated by lack of time-series activity data at a national level.

Most non-Annex I Parties lack the resources for the collection, development and maintenance of important activity data, such as data on energy use for biomass combustion, or the use of kerosene in the informal and household sectors of the economy and many do not as yet have permanent technical climate change secretariats/offices established within responsible agencies to coordinate GHG inventories on a continuous basis. Additionally, there is lack of national and/or regional programmes to build/enhance capacities and capabilities for the collection, processing, use, archiving and storage of activity data for GHG inventories.

2.8.1 MAINSTREAMING GHG INVENTORY WORK

In order to overcome some of the problems highlighted above regarding national GHG inventory, it is therefore vital to mainstream the GHG inventory process by incorporating it into development planning such as energy planning, energy security and management. This would help alleviate data collection and management issues. Non-Annex I Parties would benefit immensely by mainstreaming GHG data collection within sectors or agencies which are responsible for data collection, management, archiving and retrieval.

2.8.2 PLANNING THE GHG INVENTORY WORK

In order to make the GHG inventory process effective and sustainable, non-Annex I Parties could appoint a national coordinator and/or an entity whose main task is to manage and coordinate the GHG inventory. The coordinator/entity should be supported by the multidisciplinary TWG for the GHG inventory. Both the national coordinator/entity and GHG inventory TWG should have clear roles and responsibilities, as would be defined by their respective terms of reference.

A useful step is the development of a work plan taking into account the experience gained from the previous GHG inventory exercise and the scope of the inventory itself. This can be done by conducting a key category analysis (KCA). The KCA helps identify those emission categories that require particular attention, either because they contribute a large share of total emissions and/or they have significant influence on the national level of emissions trends. It also provides a useful tool for allocating limited resources more effectively.

¹³ Reader is referred to Module 3 on GHG Inventories for further details.

2.8.3 MANAGING THE GHG INVENTORY PROCESS

There are a number of tools and resources available to the Parties to support the GHG inventory process, including information on emission factors. One of these resources is the Emission Factor Database (EFDB)¹⁴ which contains a library of emission factors from various sources and for various categories of emissions and removals with supporting technical documentation. Non-Annex I Parties could use, or search the library of information for, emission factors that closely reflect their own national circumstances in their inventory preparation. The other important resource available is the UNFCCC GHG Inventory Software,¹⁵ which facilitates the compilation and reporting on GHG emissions from non-Annex I Parties. It provides a useful step-by-step approach for the calculation or estimation of emissions and/or removals of GHGs helps the user to avoid potential mistakes and also enhances the transparency of the inventory process.

Non-Annex I Parties can also manage their inventory process by ensuring that they:

- a) Generate adequate documentation;
- b) Manage the spreadsheet when using the UNFCCC GHG Software;
- c) Have adequate reporting and drafting of reports;
- d) Conduct quality assurance/quality control (QA/QC);
- e) Undertake the analysis of the various levels of uncertainty (uncertainly analysis).

A number of steps can be taken to document the inventory process; reference data sources in spreadsheets, dating files, stating the assumptions used and their sources, and maintaining paper and electronic copies for archiving. In order to maintain consistency and quality in the inventory process, it is important to develop and provide guidance to the GHG teams on the level of detail and templates required for reporting. It would be advisable to put in place a robust and routine internal review of procedures, spot-checking and at least one round of external peer review to ensure some level of QA/QC.

Archiving of data is also an important way of ensuring that data is kept safe, and in a form that can be easily accessed as and when the need arises, either for future inventories or for planning purposes. This aspect is considered to be a critical issue, as most countries do not necessarily have good data management systems that include GHG data. Thus, given the importance of GHG data over the long term, it would be necessary to explore ways in which data can be archived.

2.8.4 ADDRESSING DATA ISSUES

Data constraints and gaps have become a major issue for inventory preparation in many countries and many of them are still faced with these problems. Different options have been suggested to address these constraints, including identifying:

- a) Activity data sources from national and international organizations and institutions;
- b) Potential barriers for data compilation and potential solutions;
- c) Potential sources to fill these gaps;
- d) The feasibility of generating or collecting data if data are not available;
- e) Other experts, at national, regional and international levels, to consult with in addressing these problems;
- f) Involve and engage the institutions or agencies responsible for data collection in identifying and filling in data gaps and developing potential solutions for dealing with those gaps;
- g) International sources for activity data for carbon dioxide, methane and nitrous oxide, if these data are not available at a national level.

When compiling the report, it is important for non-Annex I Parties to outline the experiences gained and lessons learned from the national GHG inventory as part of their effort towards the preparation of the SNC. The key challenges to a GHG inventory preparation will be the lack of available data, limited understanding of key sectors in terms of their contribution to GHG emissions as basic statistics (e.g. amount of waste produced each year and total number of cows), and the lack of opportunities to use GHG information in the sectoral and national planning processes.

A number of observations can be made regarding inventory preparation in non-Annex I Parties:

- a) The intention of most countries is to develop GHG inventory processes within the context of national communications, as this is deemed significant for the continuous and regular updating of the GHG inventories in a sustainable manner. While developing GHG inventory processes, it is important to acknowledge that a lack of capacity and expertise would limit or constrain countries' ability to develop such rigorous system and countries should therefore request the need for capacity-building and training in this area, as well as strengthening the institutions or entities responsible for GHG inventories;
- b) The main challenge will be to identify institutions/entities that would be responsible for the GHG inventories given that many already have mandated responsibilities that are not necessarily carried out in an effective manner due to financial and technical constraints. Therefore, developing a robust and effective GHG inventory process would be burdensome for many institutions/entities in non-Annex I countries;
- c) One approach to address the issue mentioned above would be to encourage the development of an institutional coordination and cooperation mechanism within the country that would take on the responsibility of developing an inventory management process, thus ensuring burden-sharing through the sharing of resources (i.e. human and

financial) and data across a number of institutions. This would also have the additional advantage of not having to keep all inventory data in one institution, thus reducing the risk of loss and/or damage;

- d) Increasing awareness among decision-makers and politicians from various institutions/entities about the value of GHG inventory process would help facilitate the exchange of information and data between the various institutions and stakeholders thereby contributing to the sustainability of the GHG inventories;
- e) Training on the preparation of GHG inventories would ensure that responsible institutions continue to contribute effectively to the GHG inventory process.

The national GHG inventory process involves a myriad of activities leading to the compilation of a national GHG inventory. Thus, a national inventory process includes a lengthy, but closely interconnected, series of tasks and activities that must be implemented. What, where and how these activities and tasks are implemented will depend, to a large extent, on careful planning, the identification of clear roles and responsibilities of those directly involved, and commitments in terms of time and efforts (e.g. national coordinator/entity(ies), the GHG inventory TWG, and sectoral agencies, etc).

Another part of the GHG inventory process involves decision-making about data and methods, the development of a network of contacts, institutional arrangements, a data management system, QA/QC procedures, documentation and archiving, and having strong and close links with other processes to ensure experiences, lessons learned and data can be shared and built on. Capacity-building and training are considered to be an inherent part of the GHG inventory process in many non-Annex I Parties, and therefore should be carried out on a continuous basis so as to reduce the risk of high turnover of trained personnel and enhance the sustainability of GHG inventory process.

¹⁴ See Module 3 on GHG Inventory for further details.

¹⁵ <http://unfccc.int/resource/cd_roms/na1/ghg_inventories/index.htm>.

2.9 MEASURES TO MITIGATE CLIMATE CHANGE

The objective of mitigation analysis is elaborated within the context of the reporting commitments of non-Annex I Parties to the UNFCCC, as well as in the context of sustainable development. It is suggested that information on mitigation measures and assessment should include not only ways to address emissions and removals, but also how mitigation can contribute effectively to long-term sustainable development. For detailed analysis of the mitigation measures, please refer to [MODULE 4](#) of this Resource Guide ([Measures to Mitigate Climate Change](#)).

Countries are encouraged to link mitigation to the national GHG inventories, which should be consistent with data and assumptions for economic development and planning. Given the huge variation in national circumstances across the developing world, it would be remiss not to mention that there is no single, specific approach to mitigation assessment. The approaches, methodologies and tools used for mitigation assessment will depend on national circumstances, as well as the scope and objectives of the study, which will be determined by the countries.

2.9.1 USEFUL STEPS FOR ASSESSING MEASURES TO MITIGATE CLIMATE CHANGE

To help facilitate the assessment of measures to mitigate climate change within the context of the national communication, the following steps should be undertaken in addition to the steps outlined in [SECTION V.2 of MODULE 4](#) of this Resource Guide:

- a) Establishment of mitigation sectoral teams to work closely with the GHG TWG;
- b) Development of a work plan with realistic and achievable goals and timeframes;
- c) Identification of the most applicable/reliable data sources, institutions, organizations, people and experts;

- d) Identification of stakeholders and development of clear roles and responsibilities relating to mitigation assessment;
- e) Use of methodologies and tools consistent with national circumstances (e.g. with availability of data and expertise);
- f) Development of baseline and mitigation scenarios and other parameters necessary for mitigation assessment.

Furthermore, below are some of the issues that must be addressed by country teams when conducting mitigation assessment:

- a) Technical barrier, including poor design and service and/or maintenance, high risk of cyclones or natural disasters to infrastructure, inconsistent supply of raw material (i.e. not assured);
- b) Market barriers, including low economies of scale, lack of private sector involvement, and lack of donor influence, as most projects are donor-supported;
- c) Institutional barriers, including inadequate capacities and lack of standards;
- d) Financial barriers;
- e) Policy/regulatory barriers, such as inappropriate legislation and policies;
- f) Barriers relating to the lack of knowledge and information.

Mitigation assessment as part of the national communication process involves the identification and screening of mitigation options, not only in terms of GHG reduction potential, but also regarding opportunities for environmental and economic benefits.

The development of renewable energy sources and technologies provides options for future sustainable energy use in many countries. Therefore strong stakeholder involvement in mitigation assessment and capacity-building will ensure that the mitigation analysis is carried out on a continuous basis, which could lead to its incorporation into sustainable development programmes.

III. IMPLEMENTATION STRATEGY

Many countries are currently preparing their SNC. The activities within the SNC are a continuation of, and an improvement of the work done under the initial national communication process. During the implementation of the project, particular attention is placed on addressing identified gaps and constraints during the SNC stocktaking exercise,¹⁶ making good use of the information derived from the exercise, and utilizing the results of relevant previous or ongoing national or international activities related to the climate change issues.

The United Nations Development Programme (UNDP), United Nations Environment Programme (UNEP) and the World Bank (WB), as IAs of the GEF, assist non-Annex I Parties, in the preparation of their national communications by helping with the management of the project.

The SNC process makes use of the capacity-building and institutional arrangements that were set up during the initial national communication process. However, capacity-building activities will still form part of the project and will be provided through training workshops, and encouragement of information exchange between the national and relevant regional and international institutions. This will increase the existing capacity, and address capacity gaps that have been identified during the SNC stocktaking exercise, and from the ongoing National Capacity Self Assessment projects¹⁷ and other climate-change-related projects, programmes and activities within each country.

In most non-Annex I Parties the national communication project is executed by the government ministry, department or agency responsible for climate change issues, in close collaboration with other relevant ministries and institutions, particularly those that make up the country's National Climate Change Country Team (NCCCT). The NCCC works closely with the GEF and UNFCCC focal points, the NCCCT and the country and/or regional office of the IA.

3.1 INSTITUTIONAL FRAMEWORK FOR PROJECT IMPLEMENTATION

The NCCCT,¹⁸ the NCCC and the TWGs form the PMT for the preparation of second national communication. The PMT works and carries out its tasks under the auspices of the responsible ministry/department, in consultation with other relevant government departments, representatives from the private sector, academic institutions and NGOs.

In most countries the following TWGs have been formed to assist with the preparation of various components of the national communication:

- i) National Greenhouse Gas Inventory;
- ii) Vulnerability and Adaptation;
- iii) Mitigation;
- iv) Technology transfer, research and systematic observation;
- v) Education, training, public awareness and information, networking and capacity-building;
- vi) Compilation of national communication and integration.

¹⁶ The stocktaking exercise is the gathering of information (including policy documents) relating to the activities of the initial national communications and other similar activities that have been carried out in the country. It involves an assessment of activities, programmes and projects that could contribute to and complement the national communication process.

¹⁷ National capacity self-assessment is funded by the GEF to identify capacity needs for the implementation of the UNFCCC, Convention on Biological Diversity (CBD) and the United Nations Convention on Combating Desertification (UNCCD).

¹⁸ In some countries the names used are different.

Each TWG comprises a number of experts, drawn both from public and private sector, local communities and NGOs, as appropriate. The number of TWGs depends on national circumstances, and may cover any combination of themes as outlined above.

The NCCCT provides technical and policy oversight to the project, facilitated by the NCCC, who is usually assisted by one Climate Change Project Assistant (CCPA). The NCCC reports to the head of the responsible ministry or department on all matters relating to the national communication process, and is fully responsible for the operational programme of the project implementation. The PMT thus consists of the head of responsible ministry or department, the NCCC and a CCPA. The PMT should have adequate and appropriate computer and telecommunication facilities, including Internet access, to enable them to efficiently and effectively carry out their activities. In some countries, additional assistance for the implementation of the national communication process is provided by regional and international organizations, where appropriate.

The NCCCT ensures that the recommendations of the project are integrated into the overall national development planning process.

The NCCC coordinates the day-to-day execution of activities carried out by the TWGs, which often involve experts from the public and private sectors, education institutions, local communities and NGOs. The NCCC and CCPA also provide secretariat support to the NCCCT, who usually meets on a regular basis to review the project implementation status and provide scientific, technical, policy and strategic guidance. The minutes of these meetings are shared with all participating institutions.

3.1.1 NATIONAL EXECUTING AGENCY

The success of any project implementation depends on its implementation process. Therefore, one of the principal stakeholders in the national communication process at a national level is the national executing agency (NEA). This is the entity responsible (i.e. mandated by the government) for dealing with climate change issues in the country. It is important that the NEA be identified at an early stage of project development, as it will make it easier for the project personnel to be located within this organization or institution. In most non-Annex I Parties, the NEAs are usually those that have mandated responsibilities related to the environment and national meteorological and hydrological services. In others, new offices for climate change have been established to oversee and deal with climate change issues.

3.1.2 NATIONAL CLIMATE CHANGE COORDINATOR

Preparation of the SNC is a logical step towards further implementation of the UNFCCC at a national level. Its main objective is to prepare a comprehensive report on the climate change-related issues following the UNFCCC guidelines. The analysis conducted within the initial national communication will be updated, upgraded and extended, resulting in the preparation of a comprehensive national report. Furthermore, it will work towards ensuring that climate change issues are not considered as separate to national and local environmental concerns by integrating objectives into national and local strategic planning processes.

In order to manage this process, as described above, the NCCC is appointed to manage the day-to-day execution and is accountable to the NEA (through its head) for the planning, management, quality control, timeliness and effectiveness of the activities carried out, as well as for the use of project funds. The NCCC will ensure that regular monitoring of and receipt of feedback from already implemented activities occurs. Given that the national communication process has a specific timeframe, the NCCC has a full-time job ranging from preparation of budgets and work programmes to serving as secretary to the NCCCT. Full details of the duties and responsibilities of the NCCC are contained in [ANNEX I](#).

3.1.3 BUILDING A NATIONAL TEAM, INVOLVEMENT OF OTHER STAKEHOLDERS AND THEMATIC WORKING GROUPS

The preparation of a national communication requires a variety of skills and competencies to carry out a wide range of activities. Thus, the national communication process necessarily requires more than a PMT to deliver the project in an effective and timely manner. It is therefore important that the process involves the building of a national team and involvement of relevant stakeholders. Most non-Annex I Parties have employed a country team approach to project delivery during the initial national communication process. This approach could be strengthened by involving new or relevant stakeholders and developing clear roles and responsibilities relating to the national communication process.

The TWGs¹⁹ are formed to carry out particular tasks relating to the preparation of national communication, in accordance with their terms of reference ([SEE ANNEX VI.1](#) for full details). Thus, the TWG on the GHG inventory focuses on activities relating to the estimations of GHG emissions by sources and removals by sinks, while the TWG on V&A focuses on conducting a V&A assessment. Likewise the TWG on mitigation focuses on information relating to programmes containing measures to mitigate climate change in the country. A number of other TWGs have also been formed to provide information on issues relating to research and systematic observations; technology transfer; education, training, public awareness and capacity-building; and information and networking.²⁰

3.1.4 STRENGTHENING AND ENHANCING NATIONAL CAPACITIES AND CAPABILITIES

All the major elements of a national communication, as outlined above, almost always require capacity-building and training for the TWGs. Thus capacity-building and training on GHG inventory preparation, V&A assessment and mitigation assessment for the preparation of national communication often take place prior to any tasks or activities being carried out. This is to ensure that all experts within the TWGs have the capacity and know-how to carry out their respective tasks in an efficient and timely manner. Capacity-building and training also focuses on the use of the technical guidelines and resources that have been identified in the UNFCCC guidelines for use by non-Annex I Parties in the preparation of their national communications. Capacity-building and training are often conducted at the national, regional and international levels.²¹ It is generally preferred that capacity-building and training take place in-country, as this provides more specific training than those that are conducted on a regional and international basis.

While capacity-building and training are critical for the successful completion of the various activities, it is equally important for all information generated or collected/collated during the national communication process to be documented and archived for future use. Many non-Annex I Parties already experience the loss of information from the initial national communication process, owing to the lack of, or inadequate database management systems for archiving data and information. Database management systems should be developed and/or strengthened to enable archiving, storage and retrieval of information. Having such a system would greatly facilitate regular updates and periodic reporting.

¹⁹ Sometimes referred to as Technical Expert Group (TEG).

²⁰ See [ANNEX I](#) for generic terms of reference for all TWGs.

²¹ For example, the CGE conducted several hands-on training on GHG inventory preparation, V&A assessment and mitigation.

IV. WORK PROGRAMME AND BUDGETING

As the preparation of national communications and the activities thereof are standard enabling activities, the incremental cost for undertaking these activities is also the full cost, and therefore no incremental cost component is required. Thus, the total funding of USD 405,000 reflects the current needs for, and concerns of the country, in the preparation of the national communication. Although some capacity has already been built during the initial national communication and its Phase II top-up funding project,²² further capacity-building, including training for the project team members, especially new members, is still needed. A significant portion of the funding should be for human and institutional capacity-building or strengthening, with a view to slowly building up a solid technical team that would be responsible for preparing future national communications in a sustainable manner.

One of the key tasks of the NCCC is to develop a work programme and budget before any other activity is carried out. The work programme and budgeting of the national communication process is done on a quarterly and annual basis, and is often estimated and reviewed by the relevant IA and the NCCCT. The SNC project design is based on a three-year cycle using the GEF Operational Procedures,²³ and therefore the work programme and budget should be aligned with this timeframe.

However, the COP, at its eleventh session (decision 8/CP.11), stated that non-Annex I Parties shall make all efforts to submit their second and, where appropriate, third national communication, within four years of the initial disbursement of financial resources for the actual preparation of the national communication. The same decision also allows non-Annex I Parties to use an extension of one year for

the submission of their national communication. Thus the timeframe for submission of the second and subsequent national communication is actually longer than a three-year project cycle. It is important for Parties to realize this so that the work programme of the SNC process, and especially budgeting, is done in line with this timeframe.

The work programme and budgeting is also an activity that each TWG should help develop within their respective groups, in close consultation with the NCCC. It is imperative that each TWG develop a specific work programme and budget to facilitate effective and timely implementation of the various activities.

4.1 IMPLEMENTING AGENCY PROCEDURES FOR PROJECT IMPLEMENTATION

As part of project management, the IA guidelines and procedures on reporting, monitoring and evaluation are followed consistently throughout the implementation of the national communication process. The NCCC also provides regular progress reports to the responsible IA and all members of the NCCCT, as well as the mandated climate change entity who hosts and executes the project. These reports enable the NCCCT and the relevant IA to evaluate the progress of the project on a regular basis and identify difficulties and shortcomings with a view to overcoming them during the period of project implementation. These reports are reviewed by the IA for their quality, comprehensiveness, and conformity to the proposed terms of reference and dates of completion. In addition, a mid-term review by the IA and the mandated ministry or department may be conducted. An independent evaluation by a qualified consultant will be conducted at the end of the project.

An independent financial audit is conducted according to the rules and procedures of the IAs. During the implementation of the project, regular financial statements are prepared and provided to the respective IAs for accessing funds for project activities.

4.1.1 MONITORING RESPONSIBILITIES AND EVENTS

A detailed schedule of project review meetings is often developed by the project management, in consultation with the project implementation partners and stakeholder representatives and incorporated in the Project Inception Report. Such a schedule includes:

- i) Tentative time frames for NCCCT meetings, (or relevant advisory and/or coordination mechanisms);
- ii) Project-related monitoring and evaluation activities.

4.1.2 DAY TO DAY MONITORING OF IMPLEMENTATION PROGRESS

The NCCC is responsible for the implementation of the project's annual work plan and its indicators. The PMT will inform the relevant IA of any delays or difficulties faced during implementation so that the appropriate support or corrective measures can be adopted in a timely and remedial fashion.

4.1.3 PERIODIC MONITORING OF IMPLEMENTATION PROGRESS

This is carried out by the IA through quarterly meetings with the project proponent, or more frequently, as deemed necessary. It allows Parties to take stock and to troubleshoot any problems pertaining to the project in a timely fashion to ensure smooth implementation of project activities.

4.2 PROJECT MONITORING REPORTING

The NCCC, in conjunction with the IA, is responsible for the preparation and submission of the following reports that form part of the monitoring process.

4.2.1 INCEPTION REPORT

A project Inception Report (IR) is often prepared immediately following the Inception Workshop. It includes a detailed first year work plan divided in quarterly timeframes, detailing the activities and progress indicators that will guide implementation during the first year of the project. The report also includes the detailed project budget for the first full year of implementation, prepared based on the annual work plan, and including any monitoring and evaluation requirements to effectively measure project performance.

The IR includes a more detailed narrative on the institutional roles, responsibilities, coordinating actions and feedback mechanisms of project-related partners. In addition, the IR includes sections on progress to date, project establishment and start-up activities, and an update on any changed external conditions that may affect project implementation.

The report is often circulated to project counterparts who are usually given a period of one calendar month in which to respond with comments or queries.

4.2.2 QUARTERLY PROGRESS REPORTS

This is the responsibility of the NCCC who provides short reports on the progress of the project on a quarterly basis to the relevant IA. The Quarterly Progress Report is also essential for providing acquittals and financial reporting, as this enables advance disbursement of funds to support the implementation of project activities/tasks.

²² Top-up funding of USD 100,000 was made available to each non-Annex I Party to carry out capacity-building in priority areas of the national communication.
²³ <<http://www.thegef.org/interior.aspx?id=16752>> (GEF/C.22/Inf.16).

4.2.3 TECHNICAL REPORTS

Technical Reports (TRs) are detailed documents covering specific areas of analysis or scientific specializations within the overall project. As part of the IR, the project management team prepares a draft reports list, detailing the technical reports that are expected to be prepared on key areas of activity during the course of the project, and tentative due dates. Where necessary, this reports list is revised and updated, and included in subsequent Annual Project Reports (APRs). TRs may also be prepared by external consultants and should be comprehensive, specialized analyses of clearly defined areas of research within the framework of the project. These technical reports represent, as appropriate, the project's substantive contribution to specific areas, and will be used in efforts to disseminate relevant information and best practices at local, national and international levels.

4.2.4 AUDIT CLAUSE

In the project such as this, the governments of the relevant non-Annex I Parties should provide the IA with certified periodic financial statements, as well as an annual audit of the financial statements relating to the status of the GEF funds according to established procedures. The audit is normally conducted by the legally recognized auditor of the government, or by a commercial auditor engaged by the government.

As the Implementing Agency of the GEF, all rights and privileges pertaining to IA as per the terms of the relevant agreement²⁴ shall be extended *mutatis mutandis* to the GEF.

4.3 WORKPLANS FOR EACH THEMATIC WORKING GROUP

Many of the experts involved in the preparation of national communications often have other mandated roles and responsibilities in addition to being a member of the TWG. This means that members often have to find extra time or own time in which to carry out activities and tasks relating to the respective TWGs. While this has worked in some situations, it is not the best use of resources and time. In order to be effective and to make use of resources effectively, TWGs are encouraged to develop work plans (including budget, timelines, tasks/activities and outputs) to facilitate their work. The work plans can be aligned with the quarterly and annual work plans of the project management. This will enable the project management to provide resources in support of the work of the TWG in a timely manner.

4.4 COMPILATION OF INFORMATION AND PREPARATION OF THEMATIC REPORTS

One of the key tasks of the TWGs is to compile information on their respective element or theme of the national communication. This can be done as a group exercise or through appointed core members of the TWG, who may prepare drafts for consideration by the whole group. The way in which compilation of information is carried out will depend on the competencies, capabilities and members of the TWG.

The preparation of thematic reports should follow closely the UNFCCC guidelines for each of the themes. This activity would not only enhance the understanding of the guidelines, but also provide an opportunity for the reports to be reviewed, thus leading to a high quality product.

²⁴ For example, UNDP uses the Standard Basic Assistance Agreement (SBAA) and UNEP uses the Project Cooperation Agreement (PCA).

V. PREPARATION OF A NATIONAL COMMUNICATION

5.1 DRAFTING A NATIONAL COMMUNICATION

The preparation of thematic reports by each TWG should contribute to the drafting of the national communication. Responsibility for drafting the national communication should lie with the TWG on National Circumstances and Integration of the National Communication, who will also be responsible for drafting of the national circumstances section, with input from the other TWGs. The group should ensure that all information pertaining to the second national communication is compiled and disseminated for review and comment in a timely manner.

The SNC should be drafted in accordance with the UNFCCC Guidelines and based on information and/or reports provided by the various TWGs. It is important to promote the integration of climate change concerns and issues into various TWG reports and to identify and highlight evolving needs and priorities relating to the preparation of the SNC and implementation of the Convention. Other roles of this TWG could include liaising and consulting with the various TWGs on issues relating to their respective competencies and preparing a final draft of SNC, printing and submitting it to the UNFCCC secretariat and distributing copies through CD-ROMs and a dedicated website

5.2 LINKING THE NATIONAL COMMUNICATION PROCESS TO SUSTAINABLE DEVELOPMENT PLANNING

When drafting the national communication, every effort should be made to highlight the links between the information included in it and the sustainable development planning processes. Thus, many of the issues covered in the national communication are relevant to integration

into the development planning processes. For example, the V&A assessment should not only generate information for reporting purposes, but also be relevant to the development of adaptation projects and informing national adaptation policy decisions. The GHG inventory information may influence the type of mitigation efforts in various sectors of the economy.

5.3 SUBMISSION OF THE NATIONAL COMMUNICATION

The timeframe for the submission of the second and, where appropriate, third national communications from non-Annex I Parties is within 4 years of the receipt of the funds for the actual preparation of the national communication. Submission of the national communication does not mean the end of the reporting process, as it is a continuous process. Thus, non-Annex I Parties should start the process of accessing funds for the preparation of their subsequent national communication 3 to 5 years after the receipt of the funds for the preparation of the SNC. Moreover, the COP, at its fourteenth session,²⁵ requested *“the GEF to ensure, as a top priority, that sufficient financial resources are provided to meet the agreed full costs incurred by developing country Parties in complying with their obligations under Article 12, paragraph 1, of the Convention, noting and welcoming that a number of Parties not included in the Annex I to the Convention (Non-Annex I Parties) plan to initiate the preparation of their third or fourth national communications by the end of the fourth replenishment of the Global Environment Facility”*.

The submission of the national communication and related information also facilitates the communication of information to all Parties and the COP, which requires such information to monitor the progress of implementation of the Convention. The User Manual provides further guidelines, which Parties are encouraged to use in drafting, reviewing and finalizing their national communications.

²⁵ See paragraph 1 (f) of decision 4/CP.14.

VI. ANNEX

6.1 GENERIC TERMS OF REFERENCE

6.1.1 NATIONAL CLIMATE CHANGE COORDINATOR (NCCC)

The NCCC's duties could include:

- The preparation of a detailed work plan and budget;
- The preparation and submission to the IA and the government of regular progress and financial reports;
- The coordination and overseeing of the preparation of the outputs of the national communication process;
- Ensuring effective communication and adequate information flow between the relevant authorities, institutions and government departments in close collaboration with the National Climate Change Country Team (NCCCT);
- Ensuring appropriate stakeholder participation in the project implementation and coordination of the work of all stakeholders under the guidance of the IA and NCCCT, and in consultation with the IA country or regional office;
- Ensuring that information is available to the NCCCT about all government, private and public sector activities, which have an impact on capacity-building;
- The maintenance and establishment of additional links with other related national and international programs and other enabling activities, such as national adaptation programmes of action, national capacity self-assessment and other national projects;
- The preparation of terms of reference for consultants and experts and ensure their timely hiring;
- Guiding the work of consultants and experts and overseeing compliance with the agreed work plan and timely completion of tasks;
- The organization and coordination of the procurement of services and goods for the project;
- Coordinating, managing and monitoring the implementation of the project activities and tasks undertaken by the various thematic working groups (TWGs), local experts; consultants, sub-contractors and co-operating partners;
- Assuming overall responsibility for the proper handling of logistics related to all project workshops and events;
- The management of the project finances, overseeing overall resource allocation and, where relevant, submitting proposals for budget revisions with the help of the IA;
- Undertaking any other actions related to the project as requested by the government or the IA;
- Serving as secretary to the NCCCT.

6.1.2 NATIONAL CLIMATE CHANGE COUNTRY TEAM

The NCCCT will be responsible for supervising the implementation of the project. This will include evaluating project outputs to ensure that project activities are being carried out in a timely manner and to acceptable levels of quality, and reviewing the status and needs of countries during the project. The NCCCT will provide a policy and technical platform for the project and in that context it will have the following duties:

- Providing operational directives to the national communication project management team (PMT), which will serve as the secretariat;
 - Making informed consensus decisions on issues arising from the Convention, the Kyoto Protocol and any future Plans for Action, as decided by the Conferences of the Parties (COP);
 - Facilitating political inclusion in the national climate change process, particularly to encourage appropriate policy development to enable effective national responses to climate change;
 - Coordinating international climate change negotiations, ensuring consistency, relevancy and real benefits from the country's participation;
 - Informing the relevant departments on climate change issues, particularly with regard to climate change issues in sectoral policies and other department plans;
 - Ensuring that the government's financial contributions to the UNFCCC are provided.
- Recognizing and encouraging human resource development in the field of scientific research and development, including the formulations of projects and joint projects, particularly regarding climate change;
 - Establishing and coordinating the work of the TWGs;
 - Ensuring that the appropriate climate change acts/legislation are enacted;
 - Facilitating access to funding for the national climate change effort;
 - Endorsing the detailed work plan, thematic reports, final SNC Report and Action Plans;
 - Proposing that the government to adopt the national communication for submission to the COP through the UNFCCC Secretariat.

6.1.3 THEMATIC WORKING GROUPS

(A) VULNERABILITY AND ADAPTATION TO CLIMATE CHANGE (V&A)

This TWG group will ensure implementation of specific activities outlined below, as well as the coordination of outputs from external consultants. The activities undertaken by the national institutions will also strengthen institutional arrangements for systematic climate observation; data management and control; and processing and updating of meteorological and hydrological services data.

The duties of this group may include:

- Participation in the training workshop on V&A methods and tools available for V&A assessment work;
- Revision of climate change scenarios, applying the most recent climate models, such as MAGICC-SCENGEN, or others, as appropriate;
- Analysis of climate change for the period 1961–2000 for the following parameters: temperature, precipitation, wind, cloudiness and sunshine hours;
- Identification of data requirements, availability and suitability, and establishment of datasets as baselines of the assessment;
- Analysis of the existing climate data and parameters, by months and years;
- Preparation of climate maps using the global information system technology;
- Reviewing the vulnerability assessment of the following sectors: agriculture, water resources, natural ecosystems, forestry and human health, including identification of the most critical vulnerable areas;
- Describing links between climate and socio-economic baseline conditions of the country in the most vulnerable sectors;
- Based on the output of the vulnerability assessment, evaluating the feasibility of available adaptation measures to meet their specific needs and highlighting concerns arising from the adverse effects from the climate change;
- Preparation of a national adaptation action plan to implement the highest priority measures, including clear distinction of responsibilities between the relevant stakeholders, a timeframe for fulfillment/implementation of the recommended measures, financial means for implementation of the measures, and identification of possible barriers and risks;
- Liaison and consultation with the TWG on Technology Transfer, Research and Systematic Observation on issues relating to technology needs for adaptation;
- Organization (in cooperation with the NCCC) of a workshop to present the results from the V&A assessment;
- Preparation of comprehensive report on the vulnerability assessment and national adaptation action plan;
- Preparation of a chapter on “Programmes containing measures to facilitate adequate adaptation to climate change”, in accordance with the UNFCCC Guidelines.

(B) NATIONAL GREENHOUSE GAS INVENTORY

The TWG on the National Greenhouse Gas (GHG) Inventory will compile the Party's GHG inventory. The TWG consists of experts from relevant ministries, institutions and agencies of government, non-governmental organizations (NGOs) and the private sector. The TWG will ensure that specific tasks relating to the national GHG inventory are carried out in a timely manner and will ensure efficient coordination of outputs of consultants and national institutions. Particular duties may include:

- Undertaking national GHG inventories for the year 2000, according to the guidelines for the preparation of National Communications (annexed to decision 17/CP.8);
- Participating in the training workshop on the use of the *2006 IPCC Guidelines for National Greenhouse Gas Inventories*, the *IPCC Good Practice Guidance and Uncertainty Management in National Greenhouse Gas Inventories* and the *Good Practice Guidance for Land Use, Land-Use Change and Forestry*;
- Including information on the other non-direct GHGs, such as hydrofluorocarbons, perfluorocarbons and sulphur hexafluoride as well as carbon monoxide, oxides of nitrogen, oxides of sulphur and non-methane volatile organic compounds;
- Revision of the input data, taking into consideration the data gaps and areas needing improvement, as identified by the stocktaking exercise;
- Collecting available activity data from national sources to fill inventory data gaps;
- Identifying and developing methods for overcoming inventory data gaps if there are no available data;
- Identifying barriers to obtaining existing data for key sources and propose solutions;
- Archiving relevant data for the project duration;
- The calculation of emissions for the year 2000 for all sectors;
- Describing procedures and arrangements undertaken to collect and archive data for the preparation of national GHG inventories, as well as efforts to make this a continuous process, including information on the role of the institutions involved;
- Organizing (in cooperation with the NCCCC) a workshop for the presentation and discussion of the results obtained from the GHG inventory;
- The preparation of a draft report on the GHG inventory to be included in the national communication.

(C) MEASURES TO MITIGATE CLIMATE CHANGE

The TWG on Mitigation will be responsible for carrying out GHG mitigation analyses and identifying mitigation options. It will ensure timely and effective implementation of specific activities outlined below, as well as coordination with the outputs of other external consultants. Particular duties may include the following:

- Based on the results from the GHG inventory and future development plans, particularly in the Energy and Land use change and forestry (LUCF) sectors, the development of baseline and mitigation scenarios to stop the increase in GHG emissions;
- Consideration of the main national economic and social development trends in the analysis, including expected GHG emissions in the Energy, Agriculture, LULUCF and Waste sectors;
- Extension of the energy consumption analysis to include energy consumption in industry (for heating or technological processes), in the public sector and in the residential sector;
- Revision of the measures contained in the initial national communication according to the latest economic developments, including quantitative measures in all sectors;
- Identification, formulation and prioritization of programmes containing measures to mitigate climate change within the framework of sustainable development;
- Finalizing the GHG mitigation analysis using the selected tools and additional background information in order to finalize the cost-benefit analysis of the different measures and develop a series of mitigation scenarios to stop the increase in the GHG emissions;
- Liaison and consultation with the TWG on the GHG Inventory and the TWG on Technology Transfer, Research and Systematic Observation on matters relating to GHG inventories and technology requirements for mitigation;
- Formulation of a final national action plan to reduce GHG emissions, including information on cost analysis;
- Assessing technology options for the different mitigation options in various sectors;
- Assessing institutional capacity-building requirements to sustain mitigation work and the related legal and institutional frameworks;
- Organization (in cooperation with the NCCC) of a workshop to present the results of the climate change mitigation analysis and draft national action plan;
- Preparation of final report on GHG mitigation and the national action plan, including comments from the stakeholders.

(D) TECHNOLOGY TRANSFER, RESEARCH AND SYSTEMATIC
 OBSERVATIONS

The TWG on Technology Transfer, Research and Systematic Observation will be responsible for carrying out assessment of technological requirements for mitigation and adaptation; and for assessing the needs and priorities for research and systematic observation. The group will ensure timely and effective implementation of specific activities outlined below, as well as coordination with the outputs of external consultants. Particular duties may include the following:

- Participation in a training workshop on the assessment of technological requirements and the use of the UNFCCC guidelines on research and systematic observation;
- Carrying out assessments of technological requirements;
- Undertaking an assessment of the needs and priorities for research and systematic observation in close collaboration with Global Climate Observing System initiatives;
- Preparation of an analysis of the climatic conditions of various stations in the country;
- Liaising closely and consulting with the TWGs on the GHG inventory, V&A and Mitigation on issues of relevance, especially on climate data, technologies and capacity-building;
- Providing substantive input to the work of TWGs on V&A and Mitigation;
- Formulation of an action plan for technology needs for mitigation and adaptation, including assessment of technology options in various sectors, institutional capacity-building related legal and institutional frameworks;
- Organization (in cooperation with the NCCC) of a workshop to present the results of the technology needs assessment and research and systematic observation;
- Preparation of a final report on technology transfer issues and research and systematic observations, including comments from the stakeholders.

(E) EDUCATION, TRAINING AND PUBLIC AWARENESS (ETPA),
 CAPACITY-BUILDING (CB) AND INFORMATION AND NETWORKING
 (INFNET)

This TWG will be responsible for compiling information on the needs and priorities for ETPA, CB and INFNET. The group will examine ways to promote climate change education, training and public awareness, building on the work already done on this issue during Phase II enabling activities. The group will ensure timely and effective implementation of specific activities outlined below, as well as coordination with the outputs of external consultants. Particular duties may include the following:

- Compilation and analysis of information on activities and tasks relating to the implementation of the New Delhi Work Programme referred to in Article 6 of the Convention;
- Compilation and analysis of information on activities/tasks relating to the implementation of the capacity-building framework of the UNFCCC;
- Identifying the needs and priorities for climate change education, training and public awareness and capacity-building as they relate to the GHG inventory; V&A assessment; mitigation; technology transfer, research and systematic observation; and other emerging priorities;
- Liaison and consultation with the various TWGs on the SNC project and the task team on National Capacity Self Assessment;
- Preparation of a draft national plan for implementation of Article 6 of the Convention and the UNFCCC capacity-building framework;
- Identifying technology needs for information and networking;
- Conducting a workshop (in collaboration with NCCC) on ways to promote climate change education, training and public awareness;
- Preparation of chapters, for inclusion in the compilation of the national communication, on:
 - i) Education, Training and Public Awareness;
 - ii) Information and Networking;
 - iii) Capacity-building.

(F) NATIONAL CIRCUMSTANCES AND INTEGRATION OF THE
NATIONAL COMMUNICATION

This TWG will be responsible for drafting a section on national circumstances, as well as the compilation of the second national communication (SNC), using input from the various thematic TWGs. The group will ensure that all information pertaining to the SNC is compiled and disseminated for review and comment in a timely manner. Particular duties may include the following:

- Compilation of the national communication in accordance with the UNFCCC guidelines, based on information and or reports provided by the various TWGs;
- Liaising and consulting with the various TWGs on issues relating to their respective competencies;
- Promotion of the inclusion of climate change concerns and issues into various TWG reports;
- Identifying and highlighting evolving needs and priorities relating to the preparation of the national communication and the implementation of the Convention;
- Preparation of a final draft of the national communication, including a 10 page executive summary and technical annexes (if available);
- Conducting a national workshop (in collaboration with NCCCT and the TWGs) on the draft national communication;
- Preparation of a final draft of the national communication, the printing and submission of the document to the UNFCCC secretariat and the distribution of the document through CD-ROMs and a dedicated website.

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