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气候变化框架公约

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## 附属履行机构

### 第四十五届会议

2016 年 11 月 7 日至 14 日，马拉喀什

#### 临时议程项目 4(b)

非《公约》附件一所列缔约方的报告

非《公约》附件一所列缔约方国家信息

通报问题专家咨询小组的工作

## 非附件一缔约方两年期更新报告编写问题区域培训研讨会

### 秘书处的报告

#### 概要

在秘书处的协助下，非《公约》附件一所列缔约方国家信息通报问题专家咨询小组 2016 年举行了三次关于非《公约》附件一所列缔约方两年期更新报告编写问题区域培训研讨会。非洲区域研讨会于 2 月 22 日至 24 日在多哥洛美举行；亚太和东欧研讨会于 4 月 4 日至 6 日在斯里兰卡科伦坡举行；拉丁美洲和加勒比研讨会于 7 月 4 日至 6 日在圣卢西亚罗德尼湾举行。研讨会旨在提高各国专家使用“非《公约》附件一所列缔约方两年期更新报告编制指南”的能力，以便利编制各国的两年期更新报告，并作为一个平台，交流有关两年期更新报告进程及其编制的意见、教训和经验。本报告概述研讨会的议事情况，并载有讨论情况概要。

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## 一. 导言

### A. 任务

1. 缔约方会议第 19/CP.19 号决定将非《公约》附件一所列缔约方国家信息通报问题专家咨询小组(专家咨询小组)的任期续延五年, 即从 2014 年延长到 2018 年, 还决定专家咨询小组在履行任务时应根据该决定附件所载修订的职权范围行使职能。
2. 根据上述职权范围, 专家咨询小组在 2016 年 2 月 2 日至 4 日在德国波恩举行的 2016 年第一次会议上, 制定了 2016-2018 年的工作方案。<sup>1</sup>
3. 作为 2016 年工作计划的一部分, 专家咨询小组商定, 为非《公约》附件一所列缔约方(“非附件一缔约方”)举行第二轮关于两年期更新报告编制问题区域培训研讨会, 研讨会举行情况如下:
  - (a) 2016 年 2 月 22 日至 24 日, 多哥洛美, 非洲区域;
  - (b) 2016 年 4 月 4 日至 6 日, 斯里兰卡科伦坡, 亚太和东欧区域;
  - (c) 2016 年 7 月 4 日至 6 日, 圣卢西亚罗德尼湾, 拉丁美洲和加勒比区域。
4. 第一轮区域培训研讨会在 2014 和 2015 年期间举行。<sup>2</sup>
5. 缔约方会议第 19/CP.19 号决定请专家咨询小组每年向附属履行机构(履行机构)提交工作进度报告, 供与缔约方届会同时召开的履行机构届会审议。<sup>3</sup>

### B. 本报告的范围

6. 本报告作为专家咨询小组工作进度报告的一部分编写,<sup>4</sup> 载有以上第 3 段所指区域培训研讨会会议情况和讨论情况概要。

### C. 附属履行机构可采取的行动

7. 履行机构在审议本报告后, 不妨酌情就编写两年期更新报告向非附件一缔约方提供技术援助问题, 向专家咨询小组提供进一步的指导。

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<sup>1</sup> FCCC/SBI/2016/xx。

<sup>2</sup> FCCC/SBI/2014/18。

<sup>3</sup> 第 19/CP.19 号决定, 第 7 段。

<sup>4</sup> 结合 FCCC/SBI/2016/16 和 FCCC/SBI/2016/17 号文件。

## 二. 议事情况概要

8. 2016 年，专家咨询小组为非附件一缔约方举行了三次关于两年期更新报告编制问题区域培训研讨会：

(a) 非洲区域两年期更新报告编制问题培训研讨会由多哥政府主办，于 2 月 22 日至 24 日在洛美举行。参加研讨会的有代表非洲区域 43 个非附件一缔约方的 48 位国内专家和 6 位专家咨询小组成员；

(b) 亚太和东欧区域两年期更新报告编制问题培训研讨会由斯里兰卡政府主办，于 4 月 4 日至 6 日在斯里兰卡科伦坡举行。参加研讨会的有代表亚太和东欧区域 36 个非附件一缔约方的 51 位国内专家和 6 位专家咨询小组成员；

(c) 拉丁美洲和加勒比区域两年期更新报告编制问题培训研讨会由圣卢西亚政府主办，于 7 月 4 日至 6 日在圣卢西亚罗德尼湾举行。参加研讨会的有代表拉丁美洲和加勒比区域 21 个非附件一缔约方的 37 位国内专家和 10 位专家咨询小组成员。

9. 除其他外，区域培训研讨会的主要目的是：

(a) 提高国内专家使用“非《公约》附件一所列缔约方两年期更新报告指南”(下称“《气候公约》两年期更新报告指南”)的能力，以便利编写其两年期更新报告；

(b) 作为一个平台，酌情交流有关国家信息通报和两年期更新报告进程及其编制的意见、教训和经验。

10. 三次区域培训研讨会采用了相似的议程，<sup>5</sup> 旨在通过互动的方式，涵盖提交两年期更新报告的所有核心要素：

(a) 概述发展中国家缔约方在《公约》之下的衡量、报告和核实框架，和《巴黎协定》之下行动和支助的透明度框架；

(b) 支持编制两年期更新报告；

(c) 报告本国情况和两年期更新报告体制安排；

(d) 报告国家温室气体清单；

(e) 报告减缓行动及其效果；

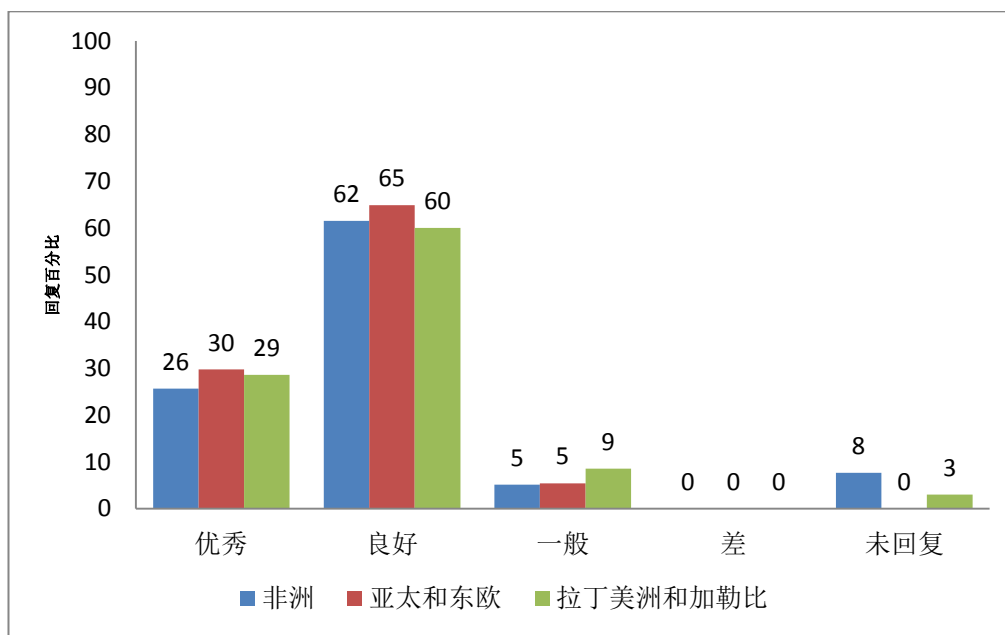
(f) 报告制约因素和差距，以及相关的资金、技术和能力建设需求及获得的支持。

<sup>5</sup> 附件一载有区域培训研讨会使用的通用议程。

11. 关于大多数要素，研讨会纳入了全体会议技术介绍、问答会议和互动式分组实践模拟练习。<sup>6</sup>

12. 与会者普遍认为研讨会优秀或良好，如下图所示。以下第三章概述了研讨会的讨论情况。

#### 与会者对研讨会质量的反馈



### 三. 区域培训研讨会讨论情况概要

13. 每个专题领域的介绍侧重解释编制两年期更新报告的有关报告规定和方法，包括专题领域的具体实例。介绍之后是问答会议和分组练习，与会者采用预先定义的案例研究，进行实际操作练习，按照《气候公约》两年期更新报告指南所载的报告规定准备资料。这些练习<sup>7</sup>旨在为与会者提供关于应用《气候公约》两年期更新报告指南所载的报告规定的第一手感觉和练习，并触发他们交流关于第一份两年期更新报告进程和编制中的观点和教益。

14. 以上每一部分会议的讨论的关键内容概述如下。关于“支持编制两年期更新报告”部分的讨论概要没有单独介绍，这部分会议的关键内容在下文所述实质性主题范围内讨论。

<sup>6</sup> 附件二载有区域培训研讨会使用的通用模拟练习。

<sup>7</sup> 模拟练习载于附件二。

## A. 在两年期更新报告中报告本国情况和体制安排

15. 这些会议的互动讨论提出了以下意见：

(a) 强调了确定和落实必要的关键要素，以确立持续报告的体制安排，包括有关国内衡量、报告和核实的事项，这是一些国家遇到的一个关键问题。需要作出有力的体制安排被看作是促进效率增益、避免重复努力、探索有关机构内和机构间协同效应的重要因素；

(b) 关于体制安排的报告规定不明确，鉴于持续提交两年期更新报告的重要性，必须更明确地概述所要报告的信息，就各国的国情提供更大的灵活性。关于体制安排的报告规定应包括持续改进的标准：规划、实施和评价；

(c) 与体制安排有关的挑战包括：制定适当和有效的方法，让在大多数情况下作为两年期更新报告中所要报告信息的信息库的其他部委参与，在各部委内部和部委之间建立可持续的安排，要考虑到许多国家人员变动频繁。确定的其他挑战包括不同的机构之间缺乏一致的优先事项，以及与新政府愿景变更相关的政策方向的改变；

(d) 认识到确立和落实应对气候变化的监管框架的重要性，它可以促进编制国家信息通报和两年期更新报告。在这方面，一些国家分享了它们的成功事例，并表示期望，这些成功的行动将支持它们持续编制和提交这些报告；

(e) 机构和部委之间的合作协议被视为很重要，以确保交流和共享信息。为此，拟订和实施主要相关机构之间的谅解备忘录，明确各自的作用和责任，被确定为培育这种关系的成功手段。此外，设立得到高级决策机构赞同的工作委员会并制定适当的法律框架，以促进交流和共享气候变化相关信息，也可能有助于加强这种关系；

(f) 一个显著的协调机构——如总理或总统办公室——可以产生积极的影响，成功地处理与气候变化相关领域的问题。与会者还表示，这样的安排将提供政治指导，这对该进程十分关键；

(g) 机构设置的方式应使其能够长期可持续，除其他外，应确定并拨付编制两年期更新报告专项资金，建立并维持中央数据库和信息共享安排；

(h) 如果请外部实体和顾问编制两年期更新报告，负责协调这一工作的一个(或多个)政府实体必须确保能力建设和从顾问向国内专家转移知识。克服这一挑战的一种可能的方法是将这一职能集中在一个主要的政府机构，该机构可作为机构记忆的信息库；

(i) 克服用外部顾问编制两年期更新报告的挑战至关重要；外部顾问的服务通常不会超过两年期更新报告的编制，在他们缺席时，缔约方在两年期更新报告技术分析和便利性意见交流研讨会期间无法提供某些领域的技术澄清。一个可能的解决办法是在有关职权范围和与顾问签订的合同中列入一些条款，要求他们与协调和/或相关机构分享咨询期间收集的所有信息和数据，或超过编制两年期

更新报告保留其服务。此外还可纳入附加条款，以解决与能力建设相关领域的问题，能够为国家小组提供基础，维护和提高自身能力，进行有关两年期更新报告的研究和分析；

(j) 认识到国际磋商和分析的目的是提高减缓行动的透明度，报告的关于本国情况的信息应反映有关国家的特殊情况，包括相关的国家政策，并反映其与编制和报告减缓行动相关信息的能力。

## B. 报告国家温室气体清单

16. 这些会议的互动讨论提出了以下意见：

(a) 与会者对接受关于使用气候变化专门委员会(气专委)《2006 年气专委国家温室气体清单编制指南》的能力建设兴趣浓厚；

(b) 与会者强调了国家层面数据和信息管理挑战的持久性，特别是收集、验证和共享数据及建立信息库；

(c) 在不同程度上成功处理数据可得性问题方面所获经验教训包括：认识到统计机构的重要作用，并使其积极参与，包括负责规划和预算的国家机构，各职能部委和机构的能力建设，以利其了解为什么需要数据；

(d) 有效的通信和外联，解释温室气体清单工作与国家规划和发展战略的联系和效益，有助于增进政治承诺和支持，并促进共享和/或交换相关机构和其他利害关系方所获数据；

(e) 从《公约》之下持续报告的角度、以及从国家一级进程可持续性的角度而言，需要一个牢靠的文献和档案系统被确定为一个重要要素；

(f) 数据提供者的所有权和关键利害关系方的认可也被确定为实质上有助于各国可持续温室气体清单系统的因素；

(g) 质量控制是编制温室气体清单、确保高质量报告的一个重要方面；应在国家层面加以鼓励，并应在项目规划阶段纳入预算拨款；

(h) 编制温室气体清单不应被简单地视为《公约》要求的项目工作，而应被承认为一个需要不断改进的持续进程，为气候政策规划和执行奠定基础。

## C. 报告减缓行动及其效果

17. 这些会议的互动讨论提出了以下意见：

(a) 与会者强调，报告的关于预期国家自主贡献的信息与在两年期更新报告中报告的减缓行动的信息相似。因此，与会者认为，在这一领域，两个领域工作之间的协同和协商机会明显；

(b) 各机构在制定减缓行动时，很少纳入衡量和评价的内容。因此，难以收集并在两年期更新报告中报告关于进度指标、执行进展情况和减缓行动的估计成果/效果的信息；

(c) 大多数减缓行动都是在可持续发展的背景下规划和执行的项目；尽管其设计并非以减少温室气体排放量为主要目的，但其结果带来共同效益；

(d) 与会者注意到，关于报告减缓行动的培训材料所提供的指导十分有用。关于报告共同效益问题，与会者表示，确定影响的类型以便作为共同效益分类一直是一个挑战；

(e) 衡量、报告和核实是一个重要方面，应从项目设计阶段之初就将其纳入，算作项目预算的一部分；

(f) 虽然有些国家作出了制度安排，以便利每两年报告有关国内衡量、报告和核实以及减缓行动的信息，但与会者强调，需要进一步的支持和工作，以加强现有和/或作出新的安排。其中包括明确定义有关作用和职责，指导改善体制安排，以确保其长期可持续性，和提供监督执行所需的信息。他们还强调，重要的是要提高分析信息和评估进展情况的能力，将其作为持续改进周期的一部分；与此类系统相关、用以追踪这些行动和规划其维护的费用问题；以及何人将负责其行政管理的问题；

(g) 与会者认为，在两年期更新报告中列入关于气候政策的信息是有价值的，因其为气候行动、包括减缓提供了战略方向和总体背景；

(h) 与会者讨论了在收集所需信息，在两年期更新报告中报告减缓行动执行进展情况和取得的成果方面遇到的挑战。作为克服这些挑战的一种手段，他们请专家咨询小组就两年期更新报告准则中所载报告规定的运用提供进一步的指导。他们还重申了一个强大和灵活的衡量、报告和核实系统对减缓行动的重要性，以促进持续收集数据和更新进度指标；

(i) 与会者注意到，可在两年期更新报告中报告的减缓行动多种多样。但他们着重谈到在识别和确定减缓行动及所要报告的相关信息方面的挑战。

#### D. 报告制约因素和差距，以及相关的资金、技术和能力建设需求及获得的支持

18. 这些会议的互动讨论提出了以下意见：

(a) 提出了若干关于如何报告/分类项目开支及要求的或适当的详细程度的问题。一些与会者表示，缺乏如何分类数据的明确定义。与会者还讨论了如何改编适用专家咨询小组作为指导编制的报告模板<sup>8</sup>的问题，例如合并“多边来源”和“多边金融机构”。还提到的关键问题包括，报告方式必需与有关国家国情相关，在国内规划和报告方面有用；

<sup>8</sup> 专家咨询小组提议的报告需要和收到的资金支持的模板。



(b) 由于无法获得详细的项目文件，特别是在对项目执行实体直接支付的情况下，对编制两年期更新报告的牵头机构而言，获取气候相关项目的数据可能颇具挑战性；

(c) 与会者指出，专家咨询小组编制的培训教材和关于所获支助报告的模板十分有用。但该模板的功能可以改进，表明所获支助是针对适应还是缓解，或是针对这两种活动；

(d) 一些与会者建议，就优惠赠款或贷款报告方法提供指导会很有用。与此相关，有些与会者着重谈到报告此类信息方面的挑战，特别是在决定何时报告——在基金得到来源批准时，或在资金拨付时，有关信息是否要报告，

(e) 一些与会者着重谈到报告执行机构业务费用的挑战，因为资金不拨给国家，而是直接拨给执行机构；

(f) 与会者注意到记录需要的和收到的资金支持信息方法的有效性，但他们承认，通过确保在得到的总资金支持中明确区分气候内容，有机会进一步加强报告模板。该模板还应能够纳入国家实物和现金捐款的信息；

(g) 报告关于两年期更新报告所需要素方面的差距和遇到的实际挑战，以及如何应对这些挑战和克服这些障碍，被认为是报告过程中的一个关键因素；

(h) 两年期更新报告的相关报告规定突出表明需要收集数据和信息，以促进有效地报告技术信息。这要求提高专家有效报告的能力，而且还产生所要报告的技术信息。因此，在向国家提供支持以编制其两年期更新报告时，应将这一因素考虑在内。

## 四. 结论

19. 在整个研讨会期间，区域培训研讨会与会者积极参与全体会议和分组会议的讨论。这可归因于研讨会的设计很好地平衡了介绍、互动式问答会议和模拟练习。在研讨会前分发培训材料也使与会者能够提前准备，从而使其能够积极参与。以下是与会者关于培训研讨会和培训材料的主要意见：

(a) 非洲区域两年期更新报告编制问题区域培训研讨会：

(一) 研讨会的设计应进一步调整，以纳入更多实例并拨出更多时间用于实践模拟练习和小组讨论；

(二) 培训教材和模拟演习得到赞赏，因为其便利了深入讨论和第一手实践应用《气候公约》两年期更新报告指南中所载报告规定；

(三) 关于收到的能力建设支助的报告，应包括参加得到国际支持的国际和国内组织的讲习班和研讨会；

(b) 亚太和东欧区域两年期更新报告编制问题区域培训研讨会：

- (一) 与会者表示赞赏研讨会的结构，其方式鼓励积极讨论及分享经验和观点；
- (二) 研讨会的结构可以进一步修订，提供更多的时间来介绍和讨论有关温室气体清单和减缓行动方面问题；
- (三) 研讨会还可以纳入关于如何识别机制和机构的能力差距的进一步指导；

(c) 拉丁美洲和加勒比区域两年期更新报告编制问题区域培训研讨会：

- (一) 与会者认识到，两年期更新报告是用以识别和提出国家需要的有用工具，以争取区域和国际支持。更重要的是，在国家一级，两年期更新报告还可用作国家决策和规划的重要工具。若能够按照这些思路有效利用两年期更新报告，将更有可能获得编制两年期更新报告所必需的政治支持，包括相关政府机构提供的人力资源；
- (二) 该地区各国处于编制两年期更新报告的不同阶段。与会者认识到，其中有些国家已经完成了国际磋商和分析进程的整个周期，包括两年期更新报告的技术分析和参加便利性意见交换研讨会，与会者指出，对处于国际磋商和分析进程最初阶段的国家而言，任何案例研究、最佳做法、所获经验和教训的交流都很有价值。他们还建议为建立网络设立机制，他们认为这将有助于提高两年期更新报告进程和编制的效率和效力；
- (三) 区域培训研讨会得到赞赏，并被认为对提高专家编制两年期更新报告的能力有用，但与会者表示，在在拉丁美洲和加勒比地区次区域一级，此种培训将使专家咨询小组能够提供针对次区域需求的更有针对性的技术支持。

20. 总体而言，专家咨询小组认为，研讨会是成功的，取得了以下成果：

- (a) 增强了国内专家对两年期更新报告中应报内容的总体知识；
- (b) 以有组织的方式介绍了每个专题领域，包括实际案例，并鼓励国内专家积极参与。

21. 通过研讨会的评价，与会者确认了专家咨询小组的成就，他们一致认为研讨会是有益的。与会者确定，以下内容可进一步加强今后此类研讨会的有效性：

- (a) 安排更多时间介绍和讨论内容更丰富的要素(如温室气体清单和减缓行动)；
- (b) 在介绍和模拟演习中列入更多实际案例；
- (c) 集中讨论报告所需要素的差距和实际挑战，以及如何能够克服这些挑战和障碍；
- (d) 在分组组成中考虑到各国参与国际磋商和分析进程的阶段不同。

22. 专家咨询小组感谢《公约》附件二所列发达国家缔约方和为研讨会提供资金的其他发达国家缔约方。专家咨询小组还感谢圣卢西亚、斯里兰卡和多哥政府主办区域培训研讨会。

## 附件一

## 非附件一缔约方两年期更新报告编制问题区域培训研讨会日程

[English only]

Organized by the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention

**DAY 1**

<b>Registration</b>	<b>8:00–9:00</b>
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<b>Session I: Opening and overview of the workshop</b>	<b>9:00–10:00</b>
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- Welcome remarks
- Opening remarks by the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention (CGE)
- Opening remarks by the UNFCCC secretariat
- Self-introduction by participants
- Workshop objectives and agenda

- <b>Tea/coffee break</b>	<b>10:00–10:30</b>
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<b>Session II: Overview of the measurement, reporting and verification (MRV) framework for developing countries under the Convention</b>	<b>10:30 –11:00</b>
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- MRV for developing country Parties: context and guidelines for biennial update report, and international process and outcome of international consultation and analysis
- Overview of the transparency framework under the Paris Agreement
- Questions and answers (Q&A)

<b>Session III: Support for the preparation of biennial update reports (BURs)</b>	<b>11:00–12:30</b>
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- Technical support for the preparation of BURs
- Supporting countries on the ground
- Q&A

- <b>Lunch break and daily subsistence allowance payment</b>	<b>12:30–14:00</b>
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<b>Session IV: Reporting on national circumstances and institutional arrangements for BURs</b>	<b>14:00–14:45</b>
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- Reporting national circumstances and institutional arrangements: reporting provisions, approaches and examples
- Q&A

<b>Session IV: (cont.)</b>	<b>Reporting on national circumstances and institutional arrangements for BURs; reflecting on previous national communications experiences</b>	<b>14:45–15:45</b>
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- Mock exercise and interactive break-out group discussion: detailed information on the exercise is contained in annex A.1 of the agenda
- Reports from the break-out groups to the plenary and interactive discussion (3–5 minutes per group)

<b>Tea/coffee break</b>	<b>15:45–16:15</b>
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<b>Session V:</b>	<b>Reporting on national greenhouse gas (GHG) inventories</b>	<b>16:15–17:30</b>
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- Reporting on national GHG inventories: reporting provisions, approaches, tools and examples
- Q&A

<b>DAY 2</b>
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<b>Session V: (cont.)</b>	<b>Reporting on national GHG inventories</b>	<b>9:00–10:30</b>
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- Mock exercise and interactive break-out group discussion: detailed information on the exercise is contained in annex A.2 of the agenda

<b>Coffee/tea break</b>	<b>10:30–11:00</b>
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<b>Session V: (cont.)</b>	<b>Reporting on national GHG inventories</b>	<b>11:00–12:30</b>
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- Mock exercise and interactive break-out group discussion: detailed information on the exercise is contained in annex A.2 of the agenda (cont.)
- Reports from the break-out groups to the plenary and interactive discussion

<b>Lunch break</b>	<b>12:30–14:00</b>
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<b>Session VI:</b>	<b>Reporting on mitigation actions and their effects</b>	<b>14:00–15:30</b>
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- Reporting mitigation actions and their effects in the BUR: reporting provisions, approaches and examples
- Reporting domestic MRV arrangements
- Q&A

<b>Tea/coffee break</b>
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<b>Session VI:</b>	<b>Reporting on mitigation actions and their effects (cont.)</b>	<b>16:00–17:30</b>
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- Mock exercise and interactive break-out group discussion: detailed information on the exercise is contained in annex A.3 of the agenda

<b>DAY 3</b>
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<b>Session VI: (cont.)</b>	<b>Reporting on mitigation actions and their effects</b>	<b>09:00–10:30</b>
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- Mock exercise and interactive break-out group discussion: detailed information on the exercise is contained in annex A.3 of the agenda (cont.)
- Reports from the break-out groups to the plenary and interactive discussion

<b>Tea/coffee break</b>	<b>10:30–11:00</b>
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<b>Session VII: Reporting on constraints and gaps, and related finance, technology and capacity-building needs and support received</b>		<b>11:00–12:30</b>
<ul style="list-style-type: none"> <li>- Reporting on constraints and gaps, and related finance, technology and capacity-building needs and support received: reporting provisions, approaches and examples</li> <li>- Q&amp;A</li> </ul>		
<b>Lunch break</b>		<b>12:30–14:00</b>
<b>Session VII: Reporting on constraints and gaps, and related finance, technology (cont.) and capacity-building needs and support received</b>		<b>14:00–15:30</b>
<ul style="list-style-type: none"> <li>- Mock exercise and interactive break-out group discussion: detailed information on the exercise is contained in annex A.4 of the agenda</li> </ul>		
<b>Tea/coffee break</b>		<b>15:30–16:00</b>
<b>Session VII: Reporting on constraints and gaps, and related finance, technology (cont.) and capacity-building needs and support received</b>		<b>16:00–17:30</b>
<ul style="list-style-type: none"> <li>- Mock exercise and interactive break-out group discussion: detailed information on the exercise is contained in annex A.4 of the agenda (cont.)</li> <li>- Reports from the break-out groups to the plenary and interactive discussion</li> </ul>		
<b>Reflection – preparation and submission of BURs</b>		<b>17:30–18:00</b>
<b>Closing</b>		<b>18:00</b>

## 附件二

### 非附件一缔约方两年期更新报告编制问题区域培训研讨会 模拟练习<sup>1</sup>

[English only]

#### DESIGN AND STRUCTURE OF THE INTERACTIVE MOCK EXERCISES

##### Note to the participants

The case studies and exercises outlined here are solely for the purpose of academic exercise. Hence, it should not be used for any other purpose apart from those defined in the outline of each interactive mock exercise.

This annex contains 4 mock exercises which are intended to provide hands-on feel and experience to the participants in preparing information to be reported in BURs as per reporting provisions contained in annex III of decision 2/CP.17:

- Annex A.1: Reporting national circumstances and institutional arrangements;
- Annex A.2: Reporting national GHG inventories;
- Annex A.3: Reporting mitigation actions and their effects;
- Annex A.4: Reporting constraints and gaps, and related financial, technical and capacity-building needs, and support received.

<sup>1</sup> Reproduced as distributed at the workshops.

## Mock exercise for Session IV:

### Reporting on national circumstances and institutional arrangements for BURs

#### 1. Data and information available

For the purpose of this exercise, participants are provided an extract of the chapter on national circumstances and institutional arrangements from Ghana's first BUR, see *Ghana national circumstances and IA.pdf*.

#### 2. Mock exercise

This exercise will be undertaken in two steps: an individual assessment of the information contained in document referred to above followed by a group brainstorming.

Using the approach outlined in the presentation as a guide, each participant will study the document individually to:

1. Access how the information reported by Ghana relates, by theme (and not substance), to your national context? In other words, would the type of information included by Ghana in its BUR be relevant to your national context? If so, what are those?
2. In the context of your national circumstances, do you foresee need to include additional or different theme? If so, what are they?

Once this assessment has been completed, participants will brainstorm, in smaller groups, to identify what are the common themes that the participants perceive to be of relevance for inclusion in BURs.

This assessment and discussion should cover both national circumstances and institutional arrangements.

The groups will be asked to report back to the plenary.

#### 3. Points for reflection

- Does the information to be included under this section have any link to other sections of BURs, such as national GHG inventories, mitigation action and support? In other words, does it provide sufficient context for the information to be included in the subsequent chapters?
- What are some of the essential elements necessary for setting up and maintaining institutional arrangements that respond sufficiently to the needs arising from producing BURs and keeping up with the ICA process?
- What are some of the key factors and features of the national circumstance that facilitate the efficient functioning of institutional arrangements in the country, for example, political support, awareness among senior policy and decision makers, support from external entities, etc.?
- What are the key challenges in setting up and maintaining sustainable institutional arrangements functioning on a continuous basis?
- Is the current institutional arrangement in place to deal with National Communication preparation in your country adequate to cope with the challenges of producing BURs every two years?
- Is there clear understanding among institutions involved, of their roles in the institutional arrangements of the country for the preparation of the BURs in responding to the requirements of the ICA process? (e.g. who will be responsible for providing feedback during the three months period that the Party will have to review and comment on the draft summary report prepared by the team of technical experts? Who will be responsible to provide answers to the Parties questions during the facilitative sharing of views? Who will be responsible to treat the comments and questions received during the ICA process during the preparation of the following BURs?)



## Mock exercise for Session V: Reporting on national GHG inventories

### 1. Data and information available

For the purpose of this exercise, the participants are provided with national GHG inventory of the Republic of Dummyland (using hypothetical data). The Republic of Dummyland is a small land-locked country with low level of industrialization. Apart from the transport sector, it has limited dependence on fossil fuel.

As a Party to the Climate Change Convention, it submitted its second national communication in 2010 which contained national GHG inventory for 2000 and 2005. Further, it made a decision to submit its first BUR in 2016. As a result, it prepared GHG inventory covering the following years: 2000, 2005, 2010, 2012 and 2013. The UNFCCC excel-based software was used as the tool to develop their GHG inventory.

### 2. Mock exercise

The participants, in smaller break-out groups are expected to study the data provided and prepare information on national GHG inventory to be included in its BUR to be submitted in 2016. The information should be, at a minimum, consistent with the following reporting provisions:

- a. List the methodologies used;
- b. Each non-Annex I Party shall, as appropriate and to the extent possible, provide in its national inventory, on a gas-by-gas basis and in units of mass, estimates of anthropogenic emissions of carbon dioxide (CO<sub>2</sub>), methane (CH<sub>4</sub>) and nitrous oxide (N<sub>2</sub>O) by sources and removals by sinks *{Paragraph 14 of annex to decision 18/CP.7/paragraph 3 of annex III of decision 2/CP.17}*;
- c. Non-Annex I Parties are encouraged, as appropriate, to provide information on anthropogenic emissions by sources of hydrofluorocarbons (HFCs), perfluorocarbons (PFCs) and sulphur hexafluoride (SF<sub>6</sub>) *{Paragraph 15 of annex to decision 18/CP.7/paragraph 3 of annex III of decision 2/CP.17}*;
- d. Non-Annex I Parties are encouraged, as appropriate, to report on anthropogenic emission by sources of other greenhouse gases such as carbon monoxide (CO), nitrogen oxides (NO<sub>x</sub>) and non-methane volatile organic compounds (NMVOCs) *{Paragraph 17 of annex to decision 18/CP.7/paragraph 3 of annex III of decision 2/CP.17}*;
- e. Non-Annex I Parties are encouraged, to the extent possible, and if disaggregated data are available, to estimate and report CO<sub>2</sub> fuel combustion emissions using both the sectoral and the reference approaches, and to explain any large differences between the two approaches *{Paragraph 18 of annex to decision 18/CP.7/paragraph 3 of annex III of decision 2/CP.17}*;
- f. Non-Annex I Parties should, to the extent possible, and if disaggregated data are available, to report emissions from international aviation and marine bunker fuels separately in their inventories. Emission estimates from these sources should not be included in the national totals *{Paragraph 19 of annex to decision 18/CP.7/paragraph 3 of annex III of decision 2/CP.17}*;
- g. Each non-Annex I Party is encouraged to use tables 1 and 2 of these guidelines in reporting its national GHG inventory, taking into account the provisions established in paragraphs 14 to 17 above. In preparing those tables, Parties should strive to present information which is as complete as possible. Where numerical data are

not provided, Parties should use the notation keys as indicated *{Paragraph 19 of annex to decision 18/CP.7/paragraphs 3 and 9 of annex III of decision 2/CP.17}*.

- h. Each non-Annex I Party is encouraged to provide a consistent time series back to the years reported in the previous national communications *{Paragraph 7 of annex III of decision 2/CP.17}*;
- i. Non-Annex I Parties which have previously reported on their national GHG inventories contained in their national communications are encouraged to submit summary information tables of inventories for previous submission years (e.g. for 1994 and 2000) *{Paragraph 8 of annex III of decision 2/CP.17}*.

### 3. Points for reflection

- a. As per the guidelines for the preparation of BURs, the scope of BUR includes providing update on national GHG inventory, including a national inventory report. Is the current institutional arrangement in place to deal with the preparation of national GHG inventory in your country, and adequately cope with the challenges of producing updates every two years?
- b. What are some of the key considerations that Parties need to take into account in their endeavour to produce national GHG inventories and an update of the data every two year?
- c. What are the specific challenges your Party may face to fulfil the following requirements present in decision 2/CP.17 and BUR Guidelines:
  - i. The first biennial update report submitted by non-Annex I Parties shall cover, at a minimum, the inventory for the calendar year no more than four years prior to the date of the submission, or more recent years if information is available, and that subsequent biennial update reports shall cover a calendar year that does not precede the submission date by more than four years;
  - ii. Any change to the emission factor may be made in the subsequent full national communication;
  - iii. Each non-Annex I Party is encouraged to provide a consistent time series back to the years reported in the previous national communications;
- d. Are there any additional challenges in developing and reporting national GHG inventories using the guidelines for the preparation of BURs? If so, what are they and how would one possibly address them?

**Mock exercise for Session VI:  
Reporting on mitigation actions and their effects**

**1. Data and information available** *(adapted from BUR of Ghana)*

A country has formulated and started implementation an energy efficiency mitigation action entitled “Promoting appliance energy and transformation of refrigeration appliance market” from 2011 to 2014. It was implemented at the national level and primarily addressed emissions of CO<sub>2</sub> and CFC (R12). Following entities were involved in the implementation of this action:

- Energy Commission;
- Retail Outlets such as Cool World Electrical Retail Stores, Rowi Limited;
- Testing Centre such as National Standard Authority;
- Recycling Centres such as used fridges dismantling centres (City Waste Management Company)
- UNDP/GEF
- Eco-bank Ghana Limited

The primary objective of the action was to improve the energy efficiency of appliances marketed and used in Ghana through the introduction of a combination of regulatory tools such as Minimum Energy Performance Standards and Information Labels (S&L), and innovative economic tool (rebate scheme). The innovative economic tool (rebate scheme) targeted to replace 15,000 old and inefficient refrigerators with energy efficient ones by year 3 of the implementation period.

In order to realize the goal of the action, the following activities were planned and implemented:

- Strengthen structures and mechanisms for implementation of appliance energy efficiency standards and labels (S&L)
- Increase consumers and retailer’s awareness and improved marketing of appliance energy efficiency standards and labels.
- Establish refrigerating appliance test facilities.
- Establish used appliance and ODS collection and disposal facilities
- Conduct of refrigeration appliance rebate and exchange program throughout the country that distribute at least 15,000 efficient appliances

The performance over the entire implementation period was monitored on the basis of the following parameters:

- Number new fridges sold at retail centres under rebate scheme;
- Quantity of ODS recovered;
- Total amount of rebate payment;
- Number of inefficient fridge collected (no) at recycling centres;
- Household energy demand/consumption before/after (KWh) ,
- Import of new fridges versus used ones (quantity of imports).

Using the methodologies from the WRI GHG Protocol, effects of the mitigation action both in terms of GHG and non-GHG benefits were assessed. In doing so, the following assumptions were used:

- a. Average energy consumption of an old and inefficient refrigerator is 1,140KWh/yr;
- b. Each target household has one refrigerator which will be replaced by an energy efficient one;

- c. When old refrigerators are turned in, the new ones would be put in to use immediately by the affected households;
- d. The new refrigerators will have HFC refrigerants, however it is only during decommissioning stage that the refrigerant will be salvaged and hence, the project emission scenario for HFC is assumed to be zero;
- e. The load shedding exercise can vary the projected impacts of the project on targeted households since electricity consumption hours might reduce;
- f. After the project lifespan, the average of 1000 refrigerators would be purchased each year for the next 10 years amounting to 10,000 in the tenth year in the capitalization period;
- g. Coal fired plants are anticipated in the country after 2020, and hence with the recurrent trend of investment in the electricity generation capacity, grid emission factor for a period up to 2025 is assumed to be 0.61 tCO<sub>2</sub>/MWh;
- h. By the 10th year, the ban on the importation and sales of used refrigerators would be fully enforced;
- i. By the 10th year households will be more informed on standards and labels of refrigerators;
- j. The baseline scenario is assumed to be the continuation of historical HH energy electricity trends for refrigeration, dependent on projected changes in household income/size, current rates of increases in grid connected electrification, current of rate of household with fridges and the absent the project. In addition, there are large estimate 2,000,000 refrigeration appliances with poor energy efficiency and ozone depleting substances as at 2011;
- k. Under the intervention scenario, electricity use for efficient equipment is estimated to be 500 KWh/year based on the assumption that 55,000 electrified HH will replace their old fridge as a result of the project and to reduce household electricity use for refrigeration 43.9 per cent. The project scenario emission factor was assumed to be the same as in the baseline scenario (0.48 tCO<sub>2</sub>e/MWh), since the project does not affect the emissions intensity of electricity generation.

In the period up to 2015, the mitigation action is estimated to lead to avoid emissions of 58.12 ktCO<sub>2</sub>e. In addition, it is also going to contribute towards:

- Reduction in annual household electricity demands and expenditure;
- Creating of employment opportunities in establishing recycling and retailing centres, and assembling plants;
- Technology transfer (refrigerator test facility, Dismantling facility, and efficient refrigerators)
- Transformation of refrigeration market to an eco-friendly one through appliance labelling and ban of import of used appliances);
- E-waste management, for example, through recovery of ferrous and plastic materials;
- Phasing out of CFC;
- Health benefits.

The cost of the migration action amounted to about USD 6.1 million of which USD 4.4 million was funded by the government and the remaining with financial assistance from the GEF.

## 2. Mock exercise

The storyline above was developed on the basis of information contained in BUR from Ghana for ILLUSTRATION AND EDUCATIONAL PURPOSE only, and hence should not be used for any other purpose besides for this exercise. The information provided in the BUR should be considered as the authoritative source.

The participants, in smaller break-out groups, are expected to study the information provided in Section 1 above. Each group will also study the tabular format below and assess if it meets the requirements defined by the reporting provisions contained in paragraphs 11-13 of annex III of decision 2/CP.17. If deemed necessary, the groups may adjust the format of the table to suit the requirements. Once the template is assessed and improved, as necessary, the group shall fill in the relevant parts of the table. Each group shall maintain a list of elements which in their view are not present in the storyline above but defined in the reporting provisions referred to above.

Name of the action	Coverage	Quantitative goals / Objectives	Progress indicators	Methodologies / Assumptions	Steps taken/ envisaged	Outcomes achieved	Estimated emission reductions
Name and description of the mitigation action	Sectors and gases	Objectives of the action	Metrics depend on the nature of the action, but should be linked to performance	Key assumptions and methods used to estimate the changes in emissions and other outcomes of mitigation actions	Steps taken or envisaged to achieve the action	Estimated results achieved based on established progress metrics	GHG reduction achieved and/or envisaged
<b>Example 1:</b> Decrease GHG emissions by X% by 2050 below 2005 levels	Reduction of GHG emissions (CO <sub>2</sub> , CH <sub>4</sub> , HFCs,) and enhancement of sinks, to be achieved through a combination of measures in the energy, transport, forestry, agriculture and industrial processes sectors	A set of policies and measures targeting each sector (list key target policies)	Institutional arrangements to implement mitigation Number of policies adopted and implemented for each sector Behavioural changes induced/ investment mobilized Emission reductions achieved	Key assumptions and methodologies, the same as those used for the mitigation assessment	Summary of the steps envisaged at the national level and in each sector	Progress achieved to date as per the indicators established (i.e. renewable energy policy adopted; energy efficiency standards implemented for new housing, etc.)	Estimated emission reductions achieved to date
<b>Example 2:</b> Increase renewable energy capacity (policy/ programme level)	CO <sub>2</sub> reduction through increased share of renewable energy in the energy balance	Increase the share of solar energy to 15% of total energy generation	Actions to improve investment in the environment; share of renewable energy	Grid emissions factor; assumptions on energy demand	1. National renewable energy programme adopted 2. Feed-in-tariff introduced 3. Training for five commercial banks carried out	Two local banks introduced lending programmes for solar projects The share of renewable energy has risen to 10% of total energy generation	X Mt CO <sub>2</sub> have been reduced Overall emission reduction of Y Mt CO <sub>2</sub> is expected once the action is fully implemented

Name of the action	Coverage	Quantitative goals / Objectives	Progress indicators	Methodologies / Assumptions	Steps taken/ envisaged	Outcomes achieved	Estimated emission reductions
<b>Example 3:</b> <b>Light bulb initiative</b> <b>(project-level)</b>	CO <sub>2</sub> emission reduction through decrease in residential electricity consumption	Reduce residential electricity demand through replacement of conventional bulbs with energy efficient bulbs. Replace 1 million bulbs in the period 2012–2020	Number of bulbs replaced	Details on emission factors, demographic and macroeconomic indicators and other key assumptions used in developing the emission scenarios	1. Project implementation on office and monitoring arrangements established 2. Public education programme launched in 2012 3. In 2012–2013 200 thousand bulbs replaced	Impact on behavioural changes of population via education Projected financial savings to households through reduced electricity consumption Reduction in GHG emissions and conventional pollutants	Measures already implemented will achieve X% of GHG emission reductions by 2020 below the baseline Remaining measures to be implemented will achieve further Y% reduction in GHG emissions below the baseline by 2020

*(Note: The cell contents are provided as an example and hence should be replaced with relevant information from your case study)*

### 3. Points for reflection

- Are there any challenges in identifying and reporting information on mitigation actions and their effects using the guidelines for the preparation of BURs? If so, what are they and how would one possibly address them?
- What are some of the challenges experienced in assessing the progress of implementation of mitigation actions and also their effects? How have these challenges been addressed?
- What preparations have been made or will be needed at the national level to enhance existing, or set up new, institutional arrangements to facilitate domestic measurement, reporting and verification as well as reporting information on mitigation actions every two years?
- Are the institutions involved in the monitoring of the mitigation actions the same as the ones involved in the GHG inventory preparation?

### Mock exercise for Session VII:

#### Reporting on constraints and gaps, and related finance, technology and capacity-building needs and support received

##### 1. Data and information available

For this exercise, participants will use two sources of data and information:

- The online funding database of the Global Environment Facility available at <[https://www.thegef.org/gef/gef\\_projects\\_funding](https://www.thegef.org/gef/gef_projects_funding)>;
- The project-level data on bilateral and multilateral climate-related development in 2014 from OECD DAC External Development Finance Statistics available at <<http://www.oecd.org/dac/stats/climate-change.htm>>. A copy of data, in Excel, is included as a part of the training material package, see *OECD DAC climate-support-2013-14.xlsx*.

##### 2. Mock exercise

Participants, in smaller breakout groups, will visit these two websites and study the information available there. Each group will then select a country from the list for the exercise.

Once the group decides on a country, it shall undertake the following exercise:

- Extract any available relevant data from both the websites for the country;
- Analysis the extracted data and present them in a tabular format (an example is provided below);
- Conduct an assessment of what are the missing elements as compared to what the reporting provisions refined in annex III of decision 2/CP.17. For each of the missing elements, outlined few key steps that could be followed in order to gather, prepare and report them in a timely manner.

Reporting period:						
Type		Description of support, including USD (exchange rate)				
		Multilateral sources	Funding from Annex II and other developed country Parties	Party contribution	Multilateral financial institutions, including regional development banks	Other sources
<b>Preparation of BUR</b>	<i>Financial</i>					
	<i>Capacity-building</i>					
	<i>Technical support</i>					
	<i>Technology transfer</i>					
<b>Climate change activities contained in the BUR</b>	<i>Financial</i>					
	<i>Capacity-building</i>					
	<i>Technical support</i>					
	<i>Technology transfer</i>					

**3. Points for reflect**

- a. What are the key barriers/challenges/bottlenecks that may hinder the preparation and timely submission of BURs?
  - b. What are the key barriers/challenges/bottlenecks in compiling and reporting information on constraints and gaps, and related finance, technology and capacity-building needs and support received?
  - c. What are some of the possible approaches that could be used to identify and report, in a robust manner, constraints and gaps, and related financial, technical, capacity-building, and development and transfer of technology needs?
  - d. What are some of the key considerations that Parties need to take into account in their endeavour to compile and report, every two years, information on financial, technical, capacity-building, and development and transfer of technology support received for climate change activities as well as for the preparation of the BUR?
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