



GHG Risk Assessment Tool (Beta Version)

USER MANUAL

Derived from:

The UNESCO/IHA Greenhouse Gas Emissions from Freshwater Reservoirs Research Project

August 2012

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The first international UNESCO/IHA GHG workshop on the topic was convened in Paris, France, in 2006. A key reference established through this scientific community is the assessment of the GHG Status of Freshwater Reservoirs – Scoping Paper, which led to the UNESCO/IHA GHG Project. Scientific understanding has since advanced under the UNESCO/IHA GHG Status of Freshwater Reservoirs Research Project (UNESCO/IHA GHG Project), which started in August 2008.

The Project has benefited from the collaboration of numerous research institutions and scientists within its peer-review group. The group was established through a series of international workshops convened over the past four years, and comprises representatives from more than 100 institutions, including universities, research institutes, specialist companies, sponsoring agencies, and others. All documents produced under the Project pass through the peer-review group before being published on the IHA and UNESCO websites.

Further information on the Project’s work can be found at: www.hydropower.org

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1. Introduction

1.1 Background

Mitigating climate change is one of the most important goals for strategic sustainable development. There is a clear and pressing need to quantify the greenhouse-gas (GHG) footprint of all human activities. The GHG status of freshwater reservoirs – that is, any change in GHG emissions in a river basin resulting from the creation of such a reservoir – has been discussed in both scientific and policy forums.

The uncertainties and lack of consensus on the assessment of the GHG status of freshwater reservoirs led to consultation between scientists, the International Hydropower Association (IHA) and UNESCO's International Hydrological Programme (UNESCO-IHP), with the subsequent launch of the UNESCO/IHA GHG Research Project - GHG Status of Freshwater Reservoirs. This Project, hosted by the IHA in collaboration with UNESCO-IHP, aims to improve understanding of the impact of reservoirs on natural GHG emissions and of the processes involved, and to help fill knowledge gaps in this area.

The Project has run since August 2008, through a consensus-based, scientific approach, involving collaboration among many institutions and experts, through participation in workshops, development of products/deliverables, and acting as peer review. The resulting deliverables have been reviewed by the Project's peer-review group (the UNESCO/IHA Forum), which comprises more than 200 researchers, scientists and professionals working in this field, from more than 100 institutions, including universities, research institutes, specialist companies and sponsoring agencies.

The original objectives of the Project are to: (1) develop standard guidance for net GHG estimations; (2) promote measurements and calculate net emissions from a representative set of reservoirs, building a database of reliable, comparable data; (3) develop predictive modelling tools; and, (4) develop guidance and assessment tools for mitigation.

The standard guidance for net GHG estimations was achieved with the publication of the GHG Measurement Guidelines (UNESCO/IHA, 2010). These guidelines are being applied to a broad range of sites around the world (more than 20 reservoirs, located in Asia, Europe, South America and North America), with measurements captured in a Project database. The database is an ongoing task during the Project lifetime, to ensure the availability of reliable and comparable data for the development of the other Project products, including predictive modelling and mitigation tools.

The development of the predictive models relies on data from the measurement programmes, which will effectively only be available after application of the GHG Measurement Guidelines to a set of representative reservoirs, during a period of at least two years. While there is not yet enough data available, the Project is making use of existing published data of gross GHG emissions from previous assessments on 169 reservoirs around the world, taking account of the involved uncertainties, to develop an empirical model (GHG Risk Assessment Tool) in order to provide estimation of the level of GHG emissions on proposed or existing freshwater reservoirs.

The development of guidance and assessment tools for mitigation can only be performed after completion of the predictive tools. A framework for an initial mitigation guidance document is under development by the Project to enable hydropower project developers to take advantage of the knowledge created to date within the UNESCO/IHA GHG Research Project.

1.2 Purposes and objectives of the GHG Risk Assessment Tool

The GHG Risk Assessment Tool (the Tool) provides an estimation of the level of gross GHG emissions (existing or future) from a freshwater reservoir, based on limited and available field data, and gives indication of when the assessment of net GHG emissions may be relevant.

The Tool was developed as an empirical model, based on already available published information, for application to proposed sites, or existing freshwater reservoirs.

The Tool responds to needs from industry, financial institutions and decision makers for a product that can be used as a screening tool as well as being able to provide assessment of the level of gross GHG emissions for unmonitored and/or proposed new dam sites.

Emissions from the following GHG species are evaluated by the Tool:

Carbon dioxide (CO₂): 80% of all GHGs released into the atmosphere are CO₂. Freshwater reservoirs do not significantly change natural CO₂ levels – the great majority of CO₂ emissions would naturally occur, even without the reservoir, as part of natural transport processes (conduction, deposition, and emission) in the water bodies at the area affected by the reservoir (upstream catchment, flooded areas, downstream of the reservoir). CO₂ may, however, be released at different times and places because of the existence of a reservoir. High emissions of CO₂ may require the assessment of net GHG emissions to have their sources properly explained.

Methane (CH₄): there is already broad consensus among the scientific community that CH₄ is the main GHG species of concern in freshwater reservoirs. It is important to look at CH₄ emissions because some freshwater reservoirs may create conditions for changes in the natural CH₄ levels in the affected area. Also, according to IPCC (Forster et al., 2007), the global warming potential (GWP) of CH₄ is 25 times stronger than that of CO₂, for a 100-year time horizon. This means that CH₄ has the potential (over a period of 100 years) to produce 25 times the effect of CO₂ on global warming.

This GHG Risk Assessment Tool estimates Gross GHG diffusive fluxes of CH₄ and CO₂ and qualifies the predicted values as LOW, MEDIUM or HIGH potential emissions, compared to the distribution of observed values in the dataset used for calibration of the model. The Tool outputs provide indication of the need for assessment of net GHG emissions.

1.3 Updating the GHG Risk Assessment Tool

The GHG Risk Assessment Tool is being developed as a “living document”. As further data are collected and analysed, its formulation can be revised, and the level of uncertainty can be reduced.

Future versions of the Tool could incorporate other factors such as: soil carbon content, water temperature ranges, hydrodynamics parameters (such as stratification, residence time, and others), primary production, and vegetation. There is a need for further research to obtain the necessary data to properly test and evaluate the importance of these (and other) factors. The possibility of including a three-step decision-tree approach¹ into this model will also be left for future versions. A description of this approach is provided in ANNEX 1.

¹ Three-step decision-tree approach:

STEP ONE: SOURCE (Capacity of the system to provide carbon and nutrients to the reservoir);

STEP TWO: ACCUMULATION (Capacity of the reservoir to create stock);

STEP THREE: RELEASE (Capacity of the reservoir to release the available stock).

2. The concept of Net GHG Emissions

Net GHG emissions (GHG footprint, or GHG status of freshwater reservoirs) represent the change in GHG emissions due to the creation of a reservoir.

All river basins naturally emit greenhouse gases. The introduction of a reservoir may change the way this carbon is distributed in the system, by changing removals (GHG burial in sediments) and emission patterns².

The GHG status of freshwater reservoirs is properly assessed only when considering the impact on GHG emissions in a river basin resulting from the creation of such a reservoir, at all portions of the river basin influenced by the reservoir, and subtracting the effects of unrelated anthropogenic and natural sources.

As net GHG emissions cannot be measured directly, their value has to be estimated by assessing total (gross) GHG emissions in the affected area, comparing values for the pre- and post-impoundment conditions, and excluding unrelated anthropogenic sources (UAS).

This approach has been reported by IPCC (2011), which defines net GHG emissions from freshwater reservoirs as those *“excluding unrelated anthropogenic sources and pre-existing natural emissions”*, and asserts that: *“the assessment of man-made net emissions involves: a) appropriate estimation of the natural emissions from the terrestrial ecosystem, wetlands, rivers and lakes that were located in the area before impoundment; and b) abstracting the effect of carbon inflow from the terrestrial ecosystem, both natural and related to human activities, on the net GHG emissions before and after impoundment.”*

Several other recent publications also acknowledge the importance of properly assessing the net GHG emissions from freshwater reservoirs, such as: Chanudet et al. (2011), Demarty and Bastien (2011), Goldenfum et al. (2009), Goldenfum (2009, 2010a, 2010b), Tremblay et al. (2010), IHA (2010), and Sikar et al. (2012).

Recently developed knowledge shows that reservoir emissions may be smaller than previously estimated (Barros et al., 2011; Chanudet et al., 2011), and the terrestrial GHG sink may be smaller than currently believed (Bastviken et al., 2011). Also, new studies show evidence that tropical and sub-tropical reservoirs can sometimes behave as carbon sinks (Sikar et al., 2009a, 2009b; Chanudet et al., 2011; Ometto et al., 2010), and that anthropogenic activities contribute to increasing GHG reservoir emissions (Del Sontro et al., 2010).

These research efforts imply that a proper assessment of the GHG emissions from reservoirs must take into account all main processes involved, identifying when there is a need for assessment of net GHG emissions.

This GHG Risk Assessment Tool does not evaluate Net GHG emissions. It predicts Gross GHG diffusive fluxes (of CH₄ and CO₂) and gives indication of when the assessment of Net GHG emissions may be relevant.

² It is important to notice that reservoirs do not change the amount of carbon in the hydrosphere-biosphere-atmosphere system (the short-term carbon cycle), as they do not include new carbon in the system. As recalled in Tardieu and Pigeon (2005), it is noteworthy that emissions from artificial reservoirs do not involve returning long-term sequestered carbon into the system.

3. User Guide

3.1 Structure of the Tool

The tool is presented in an Excel™ spreadsheet, divided in three worksheets: “Main”, “Simulations” and “Auxiliary”. The contents of any of these worksheets can be viewed or printed by the User at any time, but the only cells unlocked for the user are the “Input Values”, on worksheet “Main”.

A general description of how the input data and results are presented in each of these worksheets is presented below.

- **Worksheet “Main”:**

- includes the cells for allowing the User to provide the values for all input parameters;
- shows information on the status of the values provided by the User (informing if these values are inside or outside the range of the data used for calibration of the model);
- shows the results of the simulations:
 - Predicted values of gross GHG fluxes (of CH₄ and CO₂) and its associated 67% confidence intervals;
 - Qualification of the predicted values as LOW, MEDIUM or HIGH emissions, compared to the distribution of observed values in the dataset used for calibration of the model;
 - Indication of the need for assessment of net GHG emissions;
 - Graphs for predicted gross GHG fluxes and their associated 67% confidence intervals.

- **Worksheet “Simulations”:**

- shows all values predicted for gross GHG fluxes and their associated 67% confidence intervals in a table that can be printed by the User.

- **Worksheet “Auxiliary”:**

- Shows auxiliary elements needed by the model:
 - Input parameter values for simulation;
 - Range of the data used for calibration of the model;
 - Atomic mass of the chemical elements involved (N, C, O, H);
 - Molar mass of the main GHG species;
 - Thresholds adopted for qualification of the predicted values as LOW, MEDIUM or HIGH emissions, compared to the distribution of observed values in the dataset used for calibration of the model (see section 3.3.3 for more details).

More detailed descriptions of these elements, as well as of the criteria adopted in the model are provided in sections 3.2 and 3.3. A description of the empirical models developed for this tool is provided in ANNEX 2, and the dataset used for its development is shown in ANNEX 3.

3.2 Use of the Tool spreadsheet

3.2.1 Parameters required to run the model

The values for all input parameters must be provided by the User in the “Input Value” column of the table “INPUT DATA”, on the top of the worksheet “Main”. The variables in this table are categorised in three groups: input data needed for estimation of both CO₂ and CH₄ fluxes; input data needed for estimation of CO₂ fluxes; input data needed for estimation of CH₄ fluxes.

Selected reservoir age (years):

Number of years since impoundment (reservoir filled to full capacity).

This can refer to the present age of the reservoir or to any other year (up to 100) of interest.

This variable is needed for estimation of both CO₂ and CH₄ fluxes.

Mean annual air temperature (Celsius):

Mean annual air temperature at the reservoir area.

This variable is needed for estimation of both CO₂ and CH₄ fluxes.

Mean annual runoff (mm):

Mean annual runoff of the contributing catchment.

This variable is needed for estimation of CO₂ fluxes.

Mean annual precipitation (mm):

Mean annual precipitation on the contributing catchment³.

This variable is needed for estimation of CH₄ fluxes.

The values for the parameters mean annual temperature (°C), mean annual precipitation (mm), and mean annual runoff (mm) were, in the development of the model, obtained from datasets available from various open sources (see ANNEX 3).

3.2.2 Results of the simulations

The table with the “results of the simulations” provides information on whether the values entered in the Tool are within the ranges of values of the data used to develop the models. It also shows predicted gross GHG emission values (and approximate 67% confidence intervals) for the selected reservoir age and integrates these values over a defined period. Graphs for predicted gross CO₂ and CH₄ fluxes are also produced.

Section 3.3 gives explanation on how to analyse and interpret the results of the Tool.

³ obs.: in the lack of the catchment information, a point estimate at the dam site can be adopted.

3.3 Analysis and interpretation of the outputs of the Tool

3.3.1 Table INPUT DATA

The “STATUS” column on the “INPUT DATA” table informs the User if the entered values are within the ranges of values of the data used to develop the models. If an input value falls outside the range of the data used for calibration of the model, it is considered an extrapolation, and the results have to be considered with care (the Tool was developed as an empirical model - so the predicted values are more reliable when there are no extrapolations).

3.3.2 Uncertainty of the estimates

Empirical models were developed to explain the variability of gross CO₂ and CH₄ diffusive fluxes. An intrinsically non-linear approach was adopted, affording flexibility in the shapes of the curve describing the initial decline of GHG emissions following flooding (see ANNEX 2 for more details on the empirical model).

The model for predicting CO₂ diffusive fluxes was able to explain about 45% of the variation observed in the data used for calibration, and had an uncertainty best described on a base-10 logarithmic scale (root mean square error=0.36).

The model for predicting CH₄ diffusive fluxes was able to explain about 42% of the variation observed in the data used for calibration. Its uncertainty is best described by a logarithmic root mean square error of 0.55.

The range of variability of the estimates can be expressed by the confidence interval of the predicted values. The confidence interval for the predictions is obtained as:

$$P[\text{“lower limit”} \leq \text{“GHG flux”} \leq \text{“upper limit”}] = \alpha\%$$

meaning that there is $\alpha\%$ of probability that the “GHG flux” will be in the interval between the “lower limit” and the “upper limit”.

The values for “lower limit” and “upper limit” of the 67% confidence interval for the predictions are provided by the Tool as explained in section 3.3.3.

As already described in sections 1.2 and 1.3, the models were developed based on already available published information. The level of uncertainty will be reduced as new data becomes available, providing conditions for obtaining better fit of the model, as well as allowing the model formulation to be revised, with the possible inclusion of new parameters as input data for the model.

3.3.3 Results of the simulations

Alerts:

Alerts are shown on the table with the “results of the simulations” to indicate that there is need to consider the results with care for cases in which the input values are outside the ranges used for model calibration.

Tables “Predicted gross CO₂ flux” and “Predicted gross CH₄ flux”:

The tables “Predicted gross annual CO₂ flux” and “Predicted gross annual CH₄ diffusive flux” show the predicted values of gross GHG fluxes for the selected reservoir age and for the average over an integration period of 100 years (in accordance with IPCC, 2006, the lifecycle assessment period for GHG emissions in freshwater reservoirs is 100 years), as well as the upper and lower limits of their associated 67% confidence intervals.

The uncertainty for the average over the 100 year integration period is smaller than the uncertainty for an individual year. The much narrower confidence intervals of the integrated flux assumes that the uncertainties in the predicted yearly fluxes are independent of one another and therefore average themselves out over the integration period.

It is important to stress that the lower and upper confidence limits are indicative only of the likely precision of the models and of the uncertainty of the results (see section 3.3.2). For the purposes of estimating expected fluxes, the predicted values should be used, not the outer limits.

The predictions are then compared to the distribution of observed values in the dataset used for calibration of the model, divided into three categories, and are given a heuristic qualifier as LOW (first quartile, or, 0-25% of the data), MEDIUM (second+third quartile, or 25-75%) or HIGH (last quartile, or 75-100%) emissions (see ANNEX 3 for more details on the dataset). The column “Action Required” gives indication of when the assessment of NET GHG emissions may be relevant as follows:

LOW or MEDIUM predicted values: No need to assess Net GHG emissions, unless indicated by other predicted values;

HIGH CO₂ predicted values: The assessment of Net GHG emissions should be taken into consideration.

The criteria for requiring this action takes into consideration that high emissions of CO₂ can require the assessment of net GHG emissions to have their sources properly explained.

As stated in section 1.2, although CO₂ may be released at different times and places because of the existence of a reservoir, the majority of the natural CO₂ levels are not significantly changed if the whole affected area (upstream, flooded areas and downstream) is taken into consideration. Consequently, the causes of high CO₂ emissions have to be properly investigated.

HIGH CH₄ predicted values: The assessment of Net GHG emissions is recommended.

This recommendation is based on the importance of CH₄ emissions in reservoirs.

As stated in section 1.2, reservoirs may create the conditions under which CH₄ can be produced and released. As CH₄ has the potential (over a period of 100 years) to produce 25 times the effect of CO₂ on global warming (the Global Warming Potential – GWP), any change in CH₄ emissions has to be properly acknowledged.

Graphs for predicted CO₂ and CH₄ fluxes and associated uncertainty

Graphs for predicted gross CO₂ and CH₄ fluxes and their associated 67% confidence intervals, over a 100 year period, are provided on the worksheet “Main”. The predicted values of fluxes and limits for the 67% confidence intervals are also available for printing on worksheet “Simulations”. Please note that the predicted gross CO₂ fluxes are provided as “mg C-CO₂ m⁻² d⁻¹”, and predicted gross CH₄ diffusive fluxes are provided as “mg C-CH₄ m⁻² d⁻¹”.

For more details and conversion factors see ANNEX 4.

3.3.4 General but important features

- Predicted fluxes nominally only include diffusive fluxes.
Due to the lack of reliable information from a sufficient variety of sources, other pathways could not be included in the models. Consequently, the predicted total fluxes do not include some pathways, such as CH₄ bubbling and downstream degassing.
- Predicted fluxes are gross emissions, including emissions from unrelated anthropogenic sources (UAS) and emissions in the area before impoundment. An assessment of the GHG impact of creating a reservoir can only be performed by estimating the NET GHG emissions.
- All fluxes are expressed in mg C m⁻² d⁻¹ – they are noted as “mg C-CO₂” or “mg C-CH₄” to make clear that these “mg of C” refer to Carbon in a CO₂ or in a CH₄ molecule, respectively.
- The integrated fluxes correspond to the cumulative emissions over the integration period (100 years) divided by the total length of the integration period. It thus corresponds to the average emission rate over the 100 year integration period.
- Lower and upper confidence limits are indicative only of the likely precision of the models and of the uncertainty of the results. For the purposes of estimating expected fluxes, the predicted values should be used, not the outer limits.

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ANNEX 1 – THREE-STEP DECISION-TREE APPROACH

ANNEX 1 – THREE-STEP DECISION-TREE APPROACH

The UNESCO/IHA GHG Research Project proposed a technical approach for the risk assessment of the vulnerability of a freshwater reservoir to enhanced GHG emissions, presented as a three-step process. The present version of the GHG Risk Assessment Tool was developed as an empirical model, based on already available published information. As further data becomes available, future versions of the Tool could include the three-step decision-tree approach, as proposed by the UNESCO/IHA GHG Research Project.

STEP ONE: SOURCE (Capacity of the system to provide carbon and nutrients to the reservoir)

If the system (upstream catchment) characteristics imply a low carbon and nutrient stock, or non-labile carbon and nutrients, the introduction of a reservoir is expected to present low vulnerability to an increase in GHG emissions - otherwise, it is necessary to evaluate step two.

Main factors affecting carbon and nutrient supply for reservoirs:

- Carbon and nutrient load
- Rainfall
- Soil type and land use
- Biomass of plants, algae, bacteria and animals in the reservoir and in drawdown zone

STEP TWO: ACCUMULATION (Capacity of the reservoir to create stock)

If the reservoir characteristics imply a low capacity to accumulate GHG stock, the reservoir is expected to present low vulnerability to an increase in GHG emissions, and there is no need to assess net GHG emissions, otherwise it is necessary to evaluate step three.

Main factors affecting GHG accumulation in reservoirs:

- Water temperature
- Residence time
- Stratification of the reservoir body (likelihood)
- Reservoir age
- Drawdown zone exposure (changes in water depth)

STEP THREE: RELEASE (Capacity of the reservoir to release the available stock)

If the reservoir characteristics imply a low capacity to release its GHG stock, the reservoir is expected to present low vulnerability to an increase in GHG emissions, and there is limited need to assess net GHG emissions; if there is a medium to high capacity to release the available GHG stock, the reservoir is expected to present high vulnerability to gross GHG emissions, and it is necessary to measure and assess the net GHG emissions relating to the specific reservoir.

Factors affecting GHG release in reservoirs:

- Wind speed and direction
- Presence of low level outlets;
- Increased turbulence downstream of the dam associated with ancillary structures, e.g. spillways and weirs.
- Reservoir shape (shoreline/surface ratio)
- Average water depth

Figure 1 shows how these steps are interlinked, in a decision tree structure.

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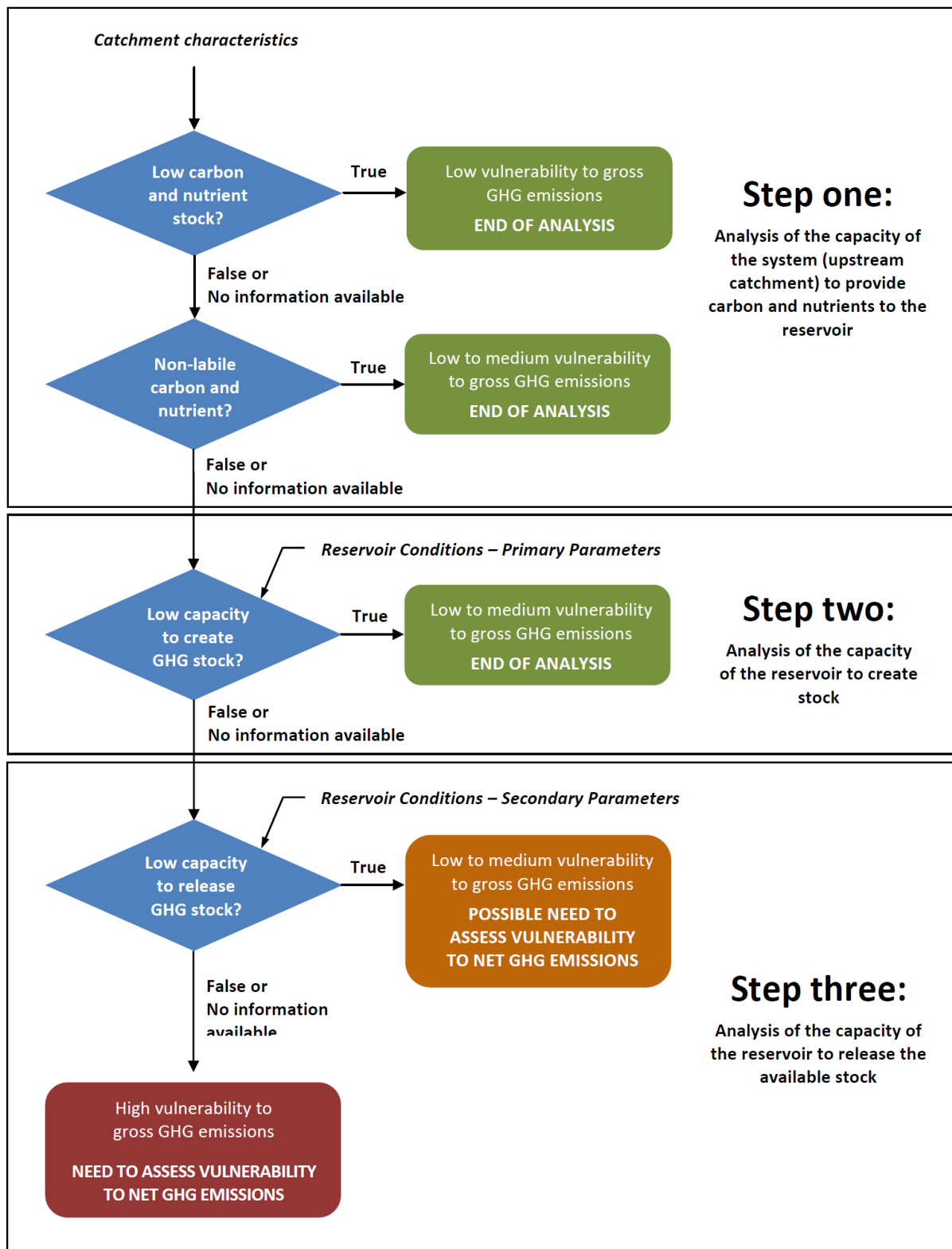


Figure 1 – Three-step decision-tree approach

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Summary description of the decision tree (Figure 1):

The first step estimates the potential supply of organic carbon and nutrients, by evaluating the capacity of the contributing areas (upstream catchment and flooded area) to deliver these to the reservoir. This evaluation is done by assessing the carbon and nutrient stock in the catchment (vegetation and soil, including flooded areas), and also by verifying if the available carbon and nutrients are labile. If the stock of carbon and nutrient in the catchment is small, the carbon and nutrient loads will be small, and the site will have a low vulnerability to gross GHG emissions; the risk assessment analysis is then complete. Otherwise, it is necessary to determine if the available carbon and nutrient is labile. If the carbon and nutrient are available in the catchment, but they are not labile, the supply of organic carbon and nutrients to the reservoir will be small. Consequently, the site vulnerability to gross GHG emissions is considered to be low to medium, and the risk assessment analysis is complete. If not, it is necessary to proceed to the second step.

The second step has the objective of evaluating whether the necessary conditions for storing GHG are present. The parameters that modulate the rates of the biological processes creating a stock, were identified by IHA (2010), as Primary parameters. If there is an adequate supply of carbon and nutrients, but the reservoir does not have the conditions needed to convert this supply to GHGs, there can be no GHG emission from the reservoir; consequently, the site is likely to present a low-to-medium vulnerability to gross GHG emissions, and the risk assessment analysis is complete. Otherwise, the GHGs will be available dissolved in the water of the reservoir, and it is necessary to proceed to the third step, to evaluate if the vulnerability to gross GHG emissions is medium or high.

The third step identifies whether the reservoir has the necessary conditions to release the available stock of GHG from the water into the atmosphere. The parameters that modulate gas exchange between the atmosphere and the reservoir or downstream river, allowing the release of GHGs, were identified by IHA (2010), as Secondary parameters. If the GHGs are available in the reservoir, and the reservoir has the capacity to release them, the vulnerability to gross GHG emissions is high, and there is a need to assess the vulnerability to net GHG emissions; otherwise, the site is likely to present medium vulnerability to gross GHG emissions (and there is a possible need to assess the vulnerability to net GHG emissions).

The decision tree also has the option of “no information available” directing the decision in the same direction as “false”, i.e. remaining on the high vulnerability track.

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ANNEX 2 – DESCRIPTION OF THE EMPIRICAL MODELS

ANNEX 2 –DESCRIPTION OF THE EMPIRICAL MODELS

C-CO₂ Flux model

The article by Barros et al. (2011) was the initial source for data for the development of this tool. This data was revised and complemented by data from more recently published papers (see ANNEX 3) and by estimates of additional parameters, such as mean annual temperature, mean annual precipitation, and mean annual runoff, obtained from datasets available from various open sources, as described in ANNEX 3.

However, the modelling approach developed by the Project was quite different from that of Barros et al. (2011). It was intrinsically non-linear (and therefore had to be fitted to the data using non-linear algorithms) and more complex, but afforded more flexibility in the shapes of the curve describing the initial decline of CO₂ emissions following flooding. Several alternative formulations were attempted but the following general expression provided both the best empirical fit and a realistic representation of the processes:

$$Flux\ C - CO_2 = \beta_0 + \beta_1 * X_1 + (\beta_2 - \beta_3 * X_2) * e^{-\beta_4 * X_3 * Age} \quad (Eq. 1)$$

where the β s are the fitted coefficients and the X s are variables chosen from a suite of potential independent variables (see section 3.2). This particular formulation was chosen because it satisfied four main conditions. First, it allows the model to potentially create a « plateau » to non-zero emissions. Second, the level of GHG emission at this new equilibrium can also be modulated by other factors, such as local climatic conditions (runoff, precipitation, temperature, etc.). Third, the initial decline in GHG emission following flooding was made more flexible than the double-logarithmic model of Barros et al. (2011). In particular, the steepness of this initial decline (the exponential term) was made to potentially interact with other variables. Thus, the shape of this decline could be modulated (i.e. made more or less steep) by the influence of other variables. Lastly, the initial GHG emission (i.e. at Age=1 year) was made to potentially vary according to other variables as well.

After many attempts using different variable combinations, the best model had the following structure:

$$Flux\ C - CO_2 = 186.0 + 0.148 * Runoff + (944.485 + 1.91 * Temp + 0.09727 * Temp^2) * e^{-0.0044 * [52.339 - 0.7033 * Temp - 0.0358 * Temp^2] * Age} \quad (Eq.2)$$

The structure of this model implies that: 1) the maximum CO₂ emission occurring immediately after flooding is a positive function of temperature (i.e. maximum for higher temperatures); 2) the new long-term equilibrium emissions (after the initial pulse) is a positive function of runoff (higher in locations with higher runoff); 3) the steepness of the initial decline (the exponential term) is a negative function of temperature (i.e. steeper and faster decline at lower temperatures).

The model explained about 45% of the variation and had an uncertainty best described on a base-10 logarithmic scale (root mean square error=0.36). The range of variability of the estimates can be expressed by the confidence interval of the predicted values, as described in section. 3.3.2.

C-CH₄ Flux model

In the case of methane, the same dataset was used, but a different modelling approach was adopted. While the Project did test the same model structure as for CO₂, little predictive gain was obtained relative to simpler empirical modelling approaches. In the end, the Project used a semi-logarithmic model combined to a regression tree approach, with different empirical models for different segments of the variable space. In particular, we developed a model where CH₄ flux is a function of mean annual temperature, mean annual precipitation and age for reservoirs that are 32 years old or less. For older reservoirs, diffusive methane emissions are constant in time at a level which is determined by temperature and precipitation only. The following models were developed:

For Age ≤ 32 years

$$C - CH_4 \text{ Flux} = 10^{(1.46 + 0.056 * \text{Temp} - 0.00053 * \text{Prec} - 0.0186 * \text{Age} + 0.000288 * \text{Age}^2)} \quad (\text{Eq. 3})$$

For Age > 32 years

$$C - CH_4 \text{ Flux} = 10^{(1.16 + 0.056 * \text{Temp} - 0.00053 * \text{Prec})} \quad (\text{Eq. 4})$$

The combined equations explain about 42% of the observed variation. Its uncertainty is best described by a logarithmic root mean square error of 0.55.

Range of variability of the estimates:

The range of variability of the estimates can be expressed by the confidence interval of the predicted values (see section 3.3.2).

The confidence interval for the predictions is obtained as:

$$P[\text{"lower limit"} \leq \text{"GHG flux"} \leq \text{"upper limit"}] = \alpha\% \quad (\text{Eq. 5})$$

The values of "lower limit" and the "upper limit" can be estimated as a function of the predicted values of gross GHG fluxes (of CH₄ and CO₂) and the mean square errors. Table 1 expresses how to estimate the values of the limits of the 67% confidence interval, for the models adopted in this Tool.

Table 1 - "lower limit" and "upper limit" of the 67% confidence interval
for the models adopted in this Tool

Predicted Value	"lower limit"	"upper limit"
Gross C-CO ₂ Flux	$\frac{1}{2.3} * \text{"Predicted Gross C-CO}_2 \text{ Flux"}$	$2.3 * \text{"Predicted Gross C-CO}_2 \text{ Flux"}$
Gross C-CH ₄ Flux	$\frac{1}{3.55} * \text{"Predicted Gross C-CH}_4 \text{ Flux"}$	$3.55 * \text{"Predicted Gross C-CH}_4 \text{ Flux"}$

Obs.: Both models have uncertainty best described on a base-10 logarithmic scale. Consequently, the factors 2.3 and 3.55 are derived from $10^{0.36}$ and $10^{0.55}$, respectively.

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ANNEX 3 – DATASET FOR THE DEVELOPMENT OF THE EMPIRICAL MODELS

ANNEX 3 – DATASET FOR THE DEVELOPMENT OF THE EMPIRICAL MODELS

The initial source for data was obtained from Barros et al. (2011). This data was revised by comparing with the information from the original sources, and complemented by data from more recent papers (see bibliographic references, in the dataset tables, and at the end of this ANNEX) and by estimates of the parameters mean annual temperature, mean annual precipitation, mean annual runoff, bioclimatic factor, net primary productivity, and soil carbon density, obtained from datasets available from various open sources.

The data adopted for the development and calibration of the empirical models of this GHG Risk Assessment Tool were derived from 212 field assessments of gross GHG emissions on 169 reservoirs, as presented in the tables of this ANNEX. The following notes present explanations of aspects of these tables, to allow a proper understanding of the meaning of some elements, as well as to detail the data sources.

Note 1: q-bathymetric shape

q is the exponent from the bathymetric expression $Az=A0(1-Z:Z_{max})^q$ due to Imboden (1973). q accommodates many shapes, from cup-shape ($q=1$) to almost completely flat with a small deep hole ($q=5-6$). Integrating this equation, a simple relationship between mean and maximum depths is obtained ($Z_{mean}=Z_{max}/(q+1)$), allowing the estimation of the value of q for the reservoirs (from average and maximum depths).

Note 2: Reservoir cross-section and shape categories

The most representative cross-section and shape of the reservoir, using the elements shown in figure 2.

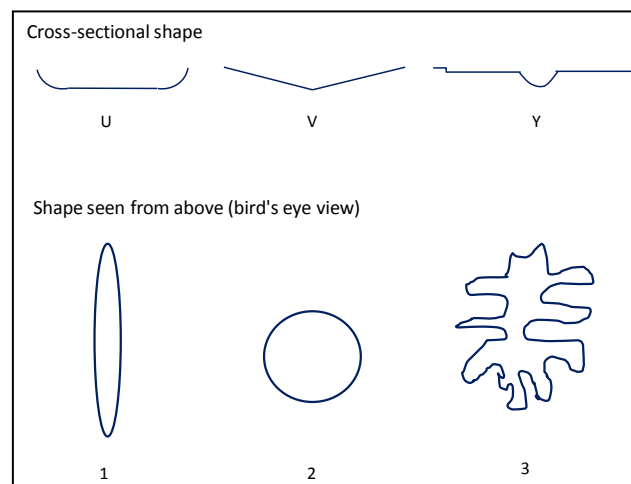


Figure 2 – Typical cross-section and shape of the reservoir
(to compute a reservoir shape index)

Note 3: Weighting index

The criteria for weighting the data was based on the level of confidence that the value reported in the data template is an accurate representation of the annual fluxes. The estimation of this level of confidence was assessed with basis on the following criteria:

Level 1: Very few samples in both in time and in space. Possibly frequent and/or severe methodological problems and uncertainties. Overall assessment: Poor confidence that the reported value is an accurate representation of the annual flux. A first cut.

Level 2: Limited sampling campaigns with significant gaps in the temporal and spatial coverage. Possibly frequent and/or severe methodological problems and uncertainties. Overall assessment: Limited confidence that the reported value is an accurate representation of the annual flux. A coarse approximation.

Level 3 : Several sampling campaigns covering a significant portion of the annual cycle and of the surface area. Some methodological uncertainties and some independent validation of techniques. Good replicability and moderate variability in the results. Overall assessment: Moderate confidence that the reported value is an accurate representation of the annual flux. A good approximation.

Level 4: Multiple sampling campaigns in multiple stations covering most of the reservoir surface. Some extrapolation made to cover periods that were not sampled. No major technical problems or uncertainties and rigorous independent validation of techniques. Overall assessment: High level of confidence that the reported value is an accurate representation of the annual flux. A high quality result.

Level 5: Extensive and detailed sampling regime covering the complete annual cycle. Multiple stations covering the entire surface area. Convergent multiple techniques to estimate flux. Overall assessment: Very high level of confidence that the reported value is an accurate representation of the annual flux. The best data money can buy.

Table 2 summarises these criteria for weighting data in model development

Table 2 – Criteria for weighting data in model development

Resolution/representivity	Method/uncertainty		
	Poor	Good	Verified
Spatial + temporal low	1	2	3
Spatial high + temporal low	2	3	3
Spatial low + temporal high	2	3	4
Spatial + temporal high	3	4	5

Note 4: BioClimatic Factor

The BioClimatic Factor estimates were obtained from WorldClim, a global climate data GIS data repository. The maps with this data can be downloaded at <http://www.worldclim.org/download>.

Note 5: Mean annual air temperature, precipitation and runoff

Estimates on mean annual values for air temperature, precipitation and runoff were obtained from Fetke et al. (2000).

Note 6: Net Primary Productivity

Net primary productivity estimates were obtained from the socioeconomic data and applications centre of Columbia University, at <http://sedac.ciesin.columbia.edu/es/hanpp.html>.

Note 7: Soil Carbon density

Soil Carbon density estimates were obtained from Hiederer and Köchy (2011).

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Reservoir No	Reservoir Name	CO ₂ flux (from Barrs et al.) (mmol C m ⁻² d ⁻¹)	CO ₂ flux (REVISED VALUES) (mmol C m ⁻² d ⁻¹)	CO ₂ flux (REVISED VALUES) (mmol C m ⁻² d ⁻¹)	Latitude (Degrees)	Longitude (Degrees)	Age (years)	Age when sampled (years)	q batimetric shape (mmol C m ⁻² d ⁻¹) (see note 1)	Reservoir cross-section category (see note 2)	Reservoir shape category (see note 3)	Wagging (mmol C m ⁻² d ⁻¹) (see note 4)	Mean Depth (m)	Reservoir Surface Area (km ²)	Volume (km ³)	Residence Time (days)	Input of TP (mmol C m ⁻² d ⁻¹) (see note 5)	Input of DOC (mmol C m ⁻² d ⁻¹) (see note 6)	Emission Type (Diffusion "D" or Bubble "B")	Biogeochemical Process (see note 7)	Mean Annual Air Temperature (°C) (see note 8)	Mean Annual Runoff (mm) (see note 9)	Net Primary Productivity (mmol C m ⁻² d ⁻¹) (see note 10)	GHG equiv factor (C ₂ H ₆ m ³ d ⁻¹)	Soil Carbon Density (mmol C m ⁻² d ⁻¹) (see note 11)	Bibliographic Reference	
1	Aquile		-252.82		33.58	-111.25	74	14232	1	1	1	1.0	30.1	10.39	0.13	194	194	194	D	194	194	194	0	18504	21.8696	Thiery et al., 2005	
2	Alamo		-189.99		34.28	-113.60	33	10254	1	0.4	11.8	10.38	0.123	199	199	199	199	199	199	D	199	199	199	0	71563.9	18.521	Thiery et al., 2005
3	Alouette Lake		-111.07		49.34	-122.41	74	12254	1	1	1	2.0	11.8	10.38	0.123	199	199	199	D	199	199	199	0	71563.9	18.521	Thiery et al., 2005	
4	Angerman		60.00		62.80	-17.93	70	1145	3	3	3	0.2	3.6	0.00128	165	165	165	165	165	D	165	165	165	0	11894	13.025	Bergstrom et al., 2004
5	Anaca		114.5		31.53	-111.25	33	11375	3	3	3	0.2	3.6	0.00128	165	165	165	165	165	D	165	165	165	0	11894	13.025	Bergstrom et al., 2004
6	Arno-Lower		-281.64		49.43	-118.10	33	11375	3	3	3	0.2	3.6	0.00128	165	165	165	165	165	D	165	165	165	0	11894	13.025	Bergstrom et al., 2004
7	Arno-Narrow		354.78		49.43	-123.25	33	11375	3	3	3	0.2	3.6	0.00128	165	165	165	165	165	D	165	165	165	0	11894	13.025	Bergstrom et al., 2004
8	Arno-Narrow		-265.10		50.05	-117.92	33	11375	3	3	3	0.2	3.6	0.00128	165	165	165	165	165	D	165	165	165	0	11894	13.025	Bergstrom et al., 2004
9	Arno-Upper		203.56		50.05	-117.92	33	11375	3	3	3	0.2	3.6	0.00128	165	165	165	165	165	D	165	165	165	0	11894	13.025	Bergstrom et al., 2004
10	Baker Dam		223.64		50.05	-117.92	33	11375	3	3	3	0.2	3.6	0.00128	165	165	165	165	165	D	165	165	165	0	11894	13.025	Bergstrom et al., 2004
11	Balena		47.00		50.05	-117.92	33	11375	3	3	3	0.2	3.6	0.00128	165	165	165	165	165	D	165	165	165	0	11894	13.025	Bergstrom et al., 2004
12	Balena		912.61		50.05	-117.92	33	11375	3	3	3	0.2	3.6	0.00128	165	165	165	165	165	D	165	165	165	0	11894	13.025	Bergstrom et al., 2004
13	Balena		965.19		50.05	-117.92	33	11375	3	3	3	0.2	3.6	0.00128	165	165	165	165	165	D	165	165	165	0	11894	13.025	Bergstrom et al., 2004
14	Balena		1007.55		50.05	-117.92	33	11375	3	3	3	0.2	3.6	0.00128	165	165	165	165	165	D	165	165	165	0	11894	13.025	Bergstrom et al., 2004
15	Ballet		97.91		50.05	-117.92	33	11375	3	3	3	0.2	3.6	0.00128	165	165	165	165	165	D	165	165	165	0	11894	13.025	Bergstrom et al., 2004
16	Balading (Mercer)		316.60		50.05	-117.92	33	11375	3	3	3	0.2	3.6	0.00128	165	165	165	165	165	D	165	165	165	0	11894	13.025	Bergstrom et al., 2004
17	Berens-1		405.27		50.05	-117.92	33	11375	3	3	3	0.2	3.6	0.00128	165	165	165	165	165	D	165	165	165	0	11894	13.025	Bergstrom et al., 2004
18	Berens-1		0.00		50.05	-117.92	33	11375	3	3	3	0.2	3.6	0.00128	165	165	165	165	165	D	165	165	165	0	11894	13.025	Bergstrom et al., 2004
19	Bill Evans		86.73		50.05	-117.92	33	11375	3	3	3	0.2	3.6	0.00128	165	165	165	165	165	D	165	165	165	0	11894	13.025	Bergstrom et al., 2004
20	Bradley		-43.82		50.05	-117.92	33	11375	3	3	3	0.2	3.6	0.00128	165	165	165	165	165	D	165	165	165	0	11894	13.025	Bergstrom et al., 2004
21	Bruch		39.82		50.05	-117.92	33	11375	3	3	3	0.2	3.6	0.00128	165	165	165	165	165	D	165	165	165	0	11894	13.025	Bergstrom et al., 2004
22	Bruch		385.08		50.05	-117.92	33	11375	3	3	3	0.2	3.6	0.00128	165	165	165	165	165	D	165	165	165	0	11894	13.025	Bergstrom et al., 2004
23	Calatino		141.27		50.05	-117.92	33	11375	3	3	3	0.2	3.6	0.00128	165	165	165	165	165	D	165	165	165	0	11894	13.025	Bergstrom et al., 2004
24	Calatino		381.80		50.05	-117.92	33	11375	3	3	3	0.2	3.6	0.00128	165	165	165	165	165	D	165	165	165	0	11894	13.025	Bergstrom et al., 2004
25	Calatino		376.60		50.05	-117.92	33	11375	3	3	3	0.2	3.6	0.00128	165	165	165	165	165	D	165	165	165	0	11894	13.025	Bergstrom et al., 2004
26	Calatino (Bhay)		182.50		50.05	-117.92	33	11375	3	3	3	0.2	3.6	0.00128	165	165	165	165	165	D	165	165	165	0	11894	13.025	Bergstrom et al., 2004
27	Calatino		615.96		50.05	-117.92	33	11375	3	3	3	0.2	3.6	0.00128	165	165	165	165	165	D	165	165	165	0	11894	13.025	Bergstrom et al., 2004
28	Chaffey		106.40		50.05	-117.92	33	11375	3	3	3	0.2	3.6	0.00128	165	165	165	165	165	D	165	165	165	0	11894	13.025	Bergstrom et al., 2004
29	Chaffey		106.40		50.05	-117.92	33	11375	3	3	3	0.2	3.6	0.00128	165	165	165	165	165	D	165	165	165	0	11894	13.025	Bergstrom et al., 2004
30	Chaffey		106.40		50.05	-117.92	33	11375	3	3	3	0.2	3.6	0.00128	165	165	165	165	165	D	165	165	165	0	11894	13.025	Bergstrom et al., 2004
31	Chaffey		106.40		50.05	-117.92	33	11375	3	3	3	0.2	3.6	0.00128	165	165	165	165	165	D	165	165	165	0	11894	13.025	Bergstrom et al., 2004
32	Chaffey		106.40		50.05	-117.92	33	11375	3	3	3	0.2	3.6	0.00128	165	165	165	165	165	D	165	165	165	0	11894	13.025	Bergstrom et al., 2004
33	Chaffey		106.40		50.05	-117.92	33	11375	3	3	3	0.2	3.6	0.00128	165	165	165	165	165	D	165	165	165	0	11894	13.025	Bergstrom et al., 2004
34	Chaffey		106.40		50.05	-117.92	33	11375	3	3	3	0.2	3.6	0.00128	165	165	165	165	165	D	165	165	165	0	11894	13.025	Bergstrom et al., 2004
35	Chaffey		106.40		50.05	-117.92	33	11375	3	3	3	0.2	3.6	0.00128	165	165	165	165	165	D	165	165	165	0	11894	13.025	Bergstrom et al., 2004
36	Chaffey		106.40		50.05	-117.92	33	11375	3	3	3	0.2	3.6	0.00128	165	165	165	165	165	D	165	165	165	0	11894	13.025	Bergstrom et al., 2004
37	Chaffey		106.40		50.05	-117.92	33	11375	3	3	3	0.2	3.6	0.00128	165	165	165	165	165	D	165	165	165	0	11894	13.025	Bergstrom et al., 2004
38	Chaffey		106.40		50.05	-117.92	33	11375	3	3	3	0.2	3.6	0.00128	165	165	165	165	165	D	165	165	165	0	11894	13.025	Bergstrom et al., 2004
39	Chaffey		106.40		50.05	-117.92	33	11375	3	3	3	0.2	3.6	0.00128	165	165	165	165	165	D	165	165	165	0	11894	13.025	Bergstrom et al., 2004
40	Chaffey		106.40		50.05	-117.92	33	11375	3	3	3	0.2	3.6	0.00128	165	165	165	165	165	D	165	165	165	0	11894	13.025	Bergstrom et al., 2004
41	Chaffey		106.40		50.05	-117.92	33	11375	3	3	3	0.2	3.6	0.00128	165	165	165	165	165	D	165	165	165	0	11894	13.025	Bergstrom et al., 2004
42	Chaffey		106.40		50.05	-117.92	33	11375	3	3	3	0.2	3.6	0.00128	165	165	165	165	165	D	165	165	165	0	11894	13.025	Bergstrom et al., 2004
43	Chaffey		106.40		50.05	-117.92	33	11375	3	3	3	0.2	3.6	0.00128	165	165	165	165	165	D	165	165	165	0	11894	13.025	Bergstrom et al., 2004
44	Chaffey		106.40		50.05	-117.92	33	11375	3	3	3	0.2	3.6	0.00128	165	165	165	165	165	D	165	165	165	0	11894	13.025	Bergstrom et al., 2004
45	Chaffey		106.40		50.05	-117.92	33	11375	3	3	3	0.2	3.6														

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ANNEX 4 – CONVERSION FACTORS

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1. Conversion from moles to grams

In chemistry, a mole is considered to be Avogadro's number (6.02×10^{23}) of molecules (or anything) of a substance - so depending on the density of the substance, the mass of that amount of the substance could vary widely.

To convert from moles to grams you must first find the molar mass of the element or compound. Use the periodic table to read off the atomic mass from an element. If it is a compound, you must know the molecular formula, and then you find the total molar mass of the compound by adding up the atomic masses of each atom in the compound. The unit of the molar mass will be in grams per moles (g/mole).

Once you have the molar mass, you can easily convert from grams to moles, and also from moles to grams.

Number of moles = (# of grams) ÷ (molar mass)

Number of grams = (# of moles) × (molar mass)

For carbon dioxide and methane (most common GHG species in reservoirs):

Element	Atomic mass (g/mol)	GHG	Molar mass (g/mol)
C	12	CO ₂	44
O	16	CH ₄	16
H	1		

2. CO₂ equivalents (CO₂eq or CO₂equiv)

The international practice is to express GHG in CO₂ equivalents (CO₂eq or CO₂equiv). Emissions of gases other than CO₂ are translated into CO₂eq by multiplying by the respective global warming potential (GWP). From the 2007 IPCC report:

GWP relative to CO₂ at different time horizon for carbon dioxide and methane

Gas name	Chemical formula	Global warming potential (GWP) for given time horizon		
		20-yr	100-yr	500-yr
Carbon dioxide	CO ₂	1	1	1
Methane	CH ₄	72	25	7.6

Source: 2007 IPCC Fourth Assessment Report (AR4)

The IPCC considers the GWP of GHGs in a 100-year time frame.

It is important to note that care must be taken on the use of GWP as the conversion factor for calculation of gases' warming potential equivalences, as the IPCC GWP is not widely accepted to correctly represent the relative weight of the gases on the change in global temperature.

3. Conversion from “g of GHG” to “g of Carbon”

The conversion between “g of GHG” and “g of Carbon” is directly related to the ratio of the atomic mass of a GHG molecule to the atomic mass of a carbon atom. Essentially, this practice accounts for the carbon in the GHG molecule, as opposed to counting the entire molecule.

For carbon dioxide, the ratio of the atomic mass of a CO₂ molecule to the mass of a carbon atom is 44:12.

- To convert from “g of C” to “g of CO₂”, multiply by 44/12
- To convert from “g of CO₂” to “g of C”, multiply by 12/44
- Sometimes you find this noted as gC-CO₂ or tC-CO₂ (to make clear that these “g of C” refer to Carbon in a CO₂ molecule).

For methane, the ratio of the atomic mass of a CH₄ molecule to the atomic mass of a carbon atom is 16:12.

- To convert from “g of C” to “g of CH₄”, multiply by 16/12
- To convert from “g of CH₄” to “g of C”, multiply by 12/16
- It is important to make clear that these “g of C” refer to Carbon in a CH₄ molecule (i.e., NOT CO₂eq – not taking into account GWP). It is common to use gC-CH₄ or tC-CH₄

4. Conversion from “g of Carbon” to “g of CO₂eq”

With the use of CO₂ equivalents (CO₂eq or CO₂equiv) it is possible to express emissions/removals of different GHG species on the same units of mass (g of CO₂eq), allowing then to compare and to combine (add or subtract) these emissions.

To convert from “g of Carbon” to “g of CO₂eq” it is necessary to:

- first convert from “g of C” to “g of GHG” (see item 3),
- and then multiply by the respective global warming potential (GWP) in order to obtain the “g of CO₂eq”.

For CO₂, as the GWP is 1, it is only necessary to convert from “g of C” to “g of CO₂”, multiplying by 44/12.

For methane:

- first convert from “g of C-CH₄” to “g of CH₄”, multiplying by 16/12
- and then, adopting the IPCC GWP for a 100-yr time-horizon, multiply by 25 in order to obtain the “g of CO₂eq”.

After converting the unit “g of Carbon” from the different GHG species in analysis to the unit “g of CO₂eq”, it is possible to compare the emissions or to add/subtract all values and then to obtain a total estimated emission expressed as “g of CO₂eq”.

It is also possible to express these values as “g of C-CO₂eq” (grams of Carbon in the CO₂eq), by multiplying the “g of CO₂eq” by 12/44.

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843 **5. Carbon dioxide equivalents vs. carbon equivalents**

844 While the international standard is to express emissions in CO₂ equivalents (CO₂eq), many U.S.A.
845 sources have expressed emissions data in terms of carbon equivalents (CE) in the past. In particular,
846 the United States Environmental Protection Agency (USEPA) has used the carbon equivalent metric
847 in the past for budget documents.

848 For the purposes of national greenhouse gas inventories, emissions are expressed as teragrams of
849 CO₂ equivalent (Tg CO₂eq). One teragram is equal to 10¹² grams, or one million metric tons.

- 850 • To convert from CE to CO₂eq, multiply by 44/12
- 851 • To convert from CO₂eq to CE, multiply by 12/44

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