



战略项目UNFC分类核验研究 (项目申报方)

UNFC 专家简报

Slavko SOLAR

经济事务官员

可持续能源部

联合国欧洲经济委员会 (UNECE)



信息说明会

战略项目申报评估

2024 年 10 月 10 日 | 在线会议

UNFC 核验目标与作用



- 专家配置：作为技术评估团队的一部分，每个战略项目申请都会分配指定的UNFC专家。
- 专家核证职责：UNFC专家的任务是，对项目申报方在申请表中提交的UNFC分类进行核验。
- UNFC核验目的：旨在反映项目在可持续性、技术成熟度以及战略原材料估算置信度三个维度的状态。
- 时间安排：每份申请的核证工作时长为半天。
- 启动流程：UNFC核验始于专家的独立评估，该评估结果将纳入报告员的最终报告。
- 流程协同要求：所有UNFC评估人员应遵循统一的核验流程，以确保评估结果的一致性与连贯性。

战略项目UNFC分类评估指南



- ◆ 为UNFC专家**核验**战略项目**分类**提供指南
- ◆ 确保**核验程序的一致性、透明性与客观性**
- ◆ 基于“**控制因素**”和“**关键术语**”的提出的**技术方法**:
 - 总体视角（初步审查、关键术语、对比分析）
 - 详细信息审查（节点、分类、子级、亚类）
 - 返回总体视角（最终评估、对比分析、文档记录）
- ◆ **UNFC评估要素网格**
 - 评估项目是否符合战略项目资格
 - “综合权衡”与“短板否决”对比
- ◆ **非强制性**——为分类工作提供参考指导

战略项目UNFC分类评估指南

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支撑表单



根据级别与子级定义 UNFC 的类别						
产品总量	产出量	已销售或使用量				
		未使用或运营自耗量				
	类别	亚类	级别			
			E	F	G	
	已知源	有活力项目	在产	1	1.1	1, 2, 3
已批准开发			1	1.2	1, 2, 3	
已论证可开发			1	1.3	1, 2, 3	
潜在有活力项目		待开发	2 ^b	2.1	1, 2, 3	
		延迟开发	2	2.2	1, 2, 3	
非活力项目		开发未明确	3.2	2.2	1, 2, 3	
		开发不可行	3.3	2.3	1, 2, 3	
确定项目未开发剩余产品		3.3	4	1, 2, 3		
潜在源		远景项目	[未定义亚类]	3.2	3	4
		远景项目未开发的剩余产品		3.3	4	4

^a 亦请参见图 2 的注释。

^b 待开发项目可能满足 E1 的要求。

Key Terms		Possible E axis Category/ies	Possible F axis Category/ies	Possible G axis Category/ies
Technical Study	Feasibility	1	1	1, 2
	Prefeasibility	2	2	1, 2
	Scoping Study	2	2	1, 2, 3
Reserve/Resource Assessment Result	Proved Reserve			1
	Probable Reserve			2
	Measured Resource			1
	Indicated Resource			2
	Inferred Resource			3
Confidence Level in Estimates	High			1
	Moderate			2
	Low			3
	Secured Supply			1
	Supply Continuity Agreement			1
Technical Study based on recognizable standards		1, 2	1, 2	1, 2
Reserve/Resource Estimates Compliant with National / International Standards				1, 2, 3
Permit Status*	Acquired	1		
	Pending	2		
	Not Permitted	3		
Technical Development	In Production	1	1	
	Construction Ongoing	1	1	
	Advanced Development Stage	1	1, 2	
	Planning Stage	2	2	
	Available Infrastructure		1, 2	
	Infrastructure Support Needed		2, 3	
	Confirmed Development		1	
	Detailed Engineering Phase	1	1, 2	
	Region with Significant Mining History	1, 2		
	TRL(UNFC Guidance Europe)		1, 2, 3	
Environmental Impact	Intellectual Property Rights	1, 2	1	
	Commerciality Available Technology		1, 2	
	EIA available	1		
	SEIA available	1		
	Other environmental impact assessment reports available	1		
Social Impact	SLO available	1		
	Health and Safety Measures	1		
	Local Support	1		
	Compliance with Social Standards/Protocols	1		
	Social Adversary / Opposition	3		
Financiality Viable		1, 2	1, 2	

注：来源于《联合国资源框架分类》2019修订版图3。

评估要素网格



Sec.	Controlling Factor	Options	Additional Explanation	E Category	Result
5	Provide the project business plan as an additional document	Provided	A detailed business plan provided as appropriate evidence, including risk mitigation, commercialisation strategy, fiscal framework	1	
		Incomplete / Weak	Inadequate evidence, some aspects of the business plan are not made available or preliminary	2	
		Not Provided	No business plan submitted	3	
	Summarise the project value proposition, including company strategy, approach to commercialisation, market analysis including target markets, key costumers, and main competitors	Satisfactory Level of information	Comprehensive coverage of the requested information	1	
		Adequate level of information	Sufficient coverage	2	
		Unsatisfactory Level of information	Minimum coverage	3	
	Summarise the key risks (including market, credit, liquidity) to the business plan which could impact the financial viability of the project and describe mitigation measures	Satisfactory Level of information	Well described mitigation measures and risk	1	
		Adequate level of information	Sufficient description	2	
		Unsatisfactory Level of information	Not enough	3	
6	Permit Status	Approved & Acquired	The project is in possession of a permit to produce	1	
		Approval Pending	Application has been submitted or being initiated	2	
		Not been Initiated	No initiative has been taken to apply for permit	3	
		Not approved	Not been approved and the risk of appeals is too high	3	
Gov	Summarise how transparent business practices with adequate compliance policies are used in the project to prevent and minimise adverse impacts on the functioning of public administration including anti-bribery and anti-corruption	Compliant with international standards		1	
		Adequate compliance		2	
		Not compliant		3	
Lowest Ranking Category / Balanced Judgement					

UNFC评估表（专家个人）

- 分类验证(个人评估)完成后，提交给报告人员纳入最终报告；
- 每个维度(E; F; G) 采用简单、逐步的填写格式；
- 需为每个维度选择级别/子级，并参考申报表中提供的“关键术语”；
- 纳入“级别选择”的理由说明，以及对申报人“分类”进行验证的情况。

Evaluator Name	
Application ID	
Project Promoter	
Project Name	
Project Location	
Project Type	
Strategic Raw Material/s	
E axis Classification - Environmental-Socio- Economic Viability	Category and Sub-category:
	Key Terms:
	Justification:
F axis Classification - Technical Feasibility	Category and Sub-category:
	Key Terms:
	Justification:
G axis Classification - Degree of Confidence	Category:
	Key Terms:
	Justification:
UNFC Classification of the Project by Evaluator	UNFC Code:
	UNFC Class and Sub-class:
	Key Terms:
	Justification:
Does the Evaluator's UNFC Classification differ from the Project Promoter's UNFC Classification?	<input type="checkbox"/> YES <input type="checkbox"/> NO
	Justification:

达成共识过程中UNFC专家的作用



- ◆ **归档专家个人评估表：**专家完成独立评估后，将其填写的《UNFC评估表（专家个人）》提交给报告人员。该表将收录在共识报告的“UNFC核验”章节。
- ◆ **共识会议机制：**若对专家个人评估结果出现分歧，UNFC专家必须参加共识会议，以审议并确定最终的统一分类。
- ◆ **两步核验流程：**如必要，将通过共识会议启动两步核验程序：先以UNFC专家的独立评估为基础，再交叉核验财务、技术、ESG等其他领域专家的评估结论，以确保一致性。
- ◆ **最终分类结论的依据：**最终分类结论必须有扎实的证据和专业的论证作为支撑。
- ◆ **协作决策原则：**若出现重大分歧，必须咨询相关领域专家（包括财务、ESG、技术可行性、UNFC），通过协作确保决策的全面性与妥善权衡。



感谢关注!

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