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NDC Transparency Check

Assessing information to facilitate clarity, transparency and understanding (ICTU) of nationally determined contributions (NDCs)

Methodology

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Background

The Paris Agreement was agreed in 2015 in Paris at the UNFCCC COP 21, and came into force a year later. Almost all countries are currently signatories of the Agreement¹. The Agreement has several key features, which can be explained in plain terms as:

- A set of global goals, including global temperature goals, a global adaptation goal and a goal pertaining to financial flows;
- A process whereby countries submit every five years “Nationally Determined Contributions” (NDCs) to achieving these goals. NDCs consist of countries’ targets to mitigate their GHG emissions, and in some cases, their adaptation and finance commitments / requirements;
- A process for countries to report on progress against the commitments contained in NDCs every two years;
- A process held every five years to evaluate collective progress against the global goals, called the global stocktake (GST). The GST then informs the next round of NDCs.

These features comprise a cycle of action and reflection – countries commit to actions in their NDCs; these actions are then reported on, and collective progress is reflected on every five years; then, in the next round of NDCs, countries take into account global progress against the goals. The level of mitigation ambition which Parties express in their NDCs is very important, but equally important is that the commitments in NDCs are expressed clearly and transparently.

Transparency is an essential element of the Paris Agreement (UNFCCC 2015). The objective of this assessment is to establish a robust methodology to assess whether the communication of parties on the proposed mitigation in their NDCs is clear, transparent and understandable, in terms of the requirements set out in the Paris Agreement, its accompanying decision (1/CP.21) and the Annex to decision 4/CMA.1 which sets out the “information to facilitate clarity, transparency and understanding” in its Annex 1. There are two key reasons why such an assessment is useful:

1. Within the legal framework of the Paris Agreement, although Parties will be legally obliged to provide the information listed in the Annex in their NDCs, there is no review or compliance process in the framework to assess whether they have done so, or to assess the extent to which they have done so. NDCs are not reviewed by anybody or process under the Paris Agreement with a view to assessing this, and the compliance processes under the Agreement (defined in its Article 15, and further

¹ A possible exception is the United States of America, which is currently a signatory, but has started the withdrawal process from the Agreement, and is expected to withdraw formally in November 2020.

elaborated in decision 20/CMA.1), will only consider whether a Party has communicated an NDC or not².

Civil society organisations can therefore play an important role in providing a critical and independent assessment of the conformance of NDCs to the relevant guidance, and ensuring that countries are aware of information gaps in their NDCs.

2. Providing a critical assessment of the information presented in NDCs, and especially in relation to the clarity of the proposed mitigation outcomes, can help not only to provide additional clarity on mitigation goals and their underlying policies and measures, but also provide clarity on the likely collective outcome of mitigation efforts committed to in NDCs.

The quality of the information provided in an NDC is of interest to various audiences, including governments, policy-makers and civil society.

While the approach taken for this assessment is based on conformance with the Annex, this 'NDC Transparency Check' will aim to assess both:

1. Conformance of a country's NDC with the Katowice Rule Book, and;
2. The extent to which a country has provided additional information in relation to each element of the Annex which further enhances clarity, transparency and understanding.

Legally, the Annex is only binding from the second NDC³ onwards. However, Parties are "strongly encouraged" to apply the Annex to updated NDCs communicated in 2020⁴. Here, the assessment will be applied to existing NDCs (communicated mostly in 2015), mindful of the fact that provision of the relevant information was not a legal requirement at the time.

² Paragraph 22 of the Annex of decision 20/CMA.1 provides for the compliance committee to consider initiating compliance proceedings against a Party for not submitting an NDC, but paragraph 23 prohibits the committee from considering any of the content of the NDC, thereby excluding from compliance procedures any questions as to whether the Party adhered to the information requirements contained in Annex 1 to decision 4/CMA.1.

³ What constitutes the second NDC is not clearly defined. Undoubtedly this will encompass NDCs communicated in 2025, but it may also include some NDCs communicated in 2020 (with a timeframe up to 2030, if their initial NDCs had a timeframe up to 2025).

⁴ A few Parties have already communicated updated NDCs, and at least one (Norway) has applied the Annex in doing so.

Structure of this document

The method is structured in two parts, which should be read together. The first section outlines the assessment method, elaborating how to complete the table with the full assessment. The table is the second section. It is structured following the paragraphs and sub-paragraphs of the Annex to decision 4/CMA.1 (UNFCCC 2018a). The same structure is applied in the first section, though here headings have been slightly shortened for readability and to reduce length.

Assessment method

The assessment table⁵ consists of four columns:

- The *first column* of the assessment table lists the elements of information to facilitate clarity, transparency and understanding (ICTU), taken from Annex I to decision 4/CMA.1 (UNFCCC 2018a). ‘Elements’ in this method refers to sub-paragraphs in the Annex.
- For all elements of ICTU, indicate in the *second column* of the table whether the Party has included the element. The options are generally Yes / No / Partly / not applicable (‘n/a’), with some variations, depending on the provision concerned. In some cases, elements are alternatives, e.g. a 1 b) OR 1 c) would generally be applicable to any specific country.
- The *third column* is a guide to identifying the elements necessary for conformance, and in some cases, what may constitute “enhanced conformance”.
- The *fourth column* provides a location for qualified assessments (since most of the provisions are not straightforward) and recording the actual occurrence of the relevant elements in the NDC.

The assessment is aimed at assessing to what extent countries have provided information required in the Annex, and therefore, if a country has not explicitly stated a piece of information, in terms of this analysis it is deemed not to have provided it. For instance, if a country has a time frame to 2030, but has not stated that it is using a 10-year time frame, even though this can be inferred and noted in the fourth column, the country will be deemed not to have provided this information.

⁵ Ref. Annex I.

A preliminary step – identifying the key NDC target or targets

A key challenge in analysing NDCs is identifying the key target or targets against which countries will track the achievement of their NDC. In some cases this is very simple, but in others it is much more complex, and the target or targets can be difficult to distinguish from information provided on policies and measures intended to achieve the NDC. Furthermore, there are several types of NDC target which do not fall neatly into some of the ICTU categories below. For instance,

- the use of the term “reference point”, which applies to a (usually quantitative) value in terms of which the target is defined (for instance, a 40% reduction from 1990 emissions levels), does not apply either to a country such as South Africa which has stated its target simply as an emissions level in a particular year (emissions will be in the range 398-614 Mt CO₂-eq in 2025 and 2030), since there is no reference point in terms of which the target is defined.
- The same is true of a policy-based target which aims to reach a certain target by a certain year (for instance, reach a total installed capacity of 500 MW of wind power by 2025).

In these cases, we assume that the countries concerned would find that information requirements pertaining to the reference year are not applicable to them. This would mean that the whole of Section 1 would not apply to these countries. In the cases of countries which define their targets in terms of a Business as Usual trajectory, this is the reference indicator, and the full range should be provided as well as the value for the reference year.

A note on interpretation and practice

It is a truism particularly in international negotiation processes that “constructive ambiguity” in the language of agreements often plays a vital role in reaching agreements, but simultaneously leads to difficulties in implementation.

Ambiguity and lack of clarity in treaty and decision language in the UNFCCC is most often resolved through practice, i.e. the practice of countries interpreting the language in order to implement relevant provisions. Since there are only very few examples so far of countries applying the Annex (up to May 2020), there are no practices to go on.

As a result, in cases in which the specifications in the Annex are unclear or ambiguous, it has been interpreted ambitiously, i.e. in a way that

- a. it can be reasonably expected that countries will interpret them, and
- b. in a way that provides as much clarity, transparency and understanding as possible.

When updating this assessment methodology after the communication of NDCs in 2020, it will be important to take this experience into account.

Comparability and objectivity

Although the methodology seeks to provide objective criteria for this assessment which should result in two different assessments reaching the same conclusions, there are some areas of the assessment in which this is particularly difficult, especially in sections 6 and 7 on fairness and ambition. It would therefore be best practice when undertaking assessments, that assessments are thoroughly reviewed, and preferably undertaken by more than one assessor.

Further areas for consideration

a) Adaptation

The scope of this methodology is confined to the mitigation component of NDCs. Since the majority of NDCs contain adaptation components as well, it would be useful in future to provide a similar assessment for adaptation components of NDCs. However, guidance on adaptation components of NDCs is provided in the form of guidance for adaptation communications as contemplated in Article 7 of the Paris Agreement, and contained in decision 9/CMA.1, and is of a completely different legal nature to the provisions on ICTU. Countries are not obliged to include an adaptation component in their NDCs, and are also not obliged to use the guidance for adaptation communications if they choose to do so. The assessment would therefore have to be of a very different nature, sensitive to national circumstances and to the different legal nature of the guidance. An assessment could possibly be developed drawing from the experience gained by the review of Annex I countries' adaptation sections of their National Communications (contained in technical expert review reports), which attempts to categorize and summarise adaptation information on a thematic basis. This could be accompanied by an assessment of which additional information on adaptation could be included in future NDCs.

b) Support (incl. finance, technology, capacity building)

Even less guidance is provided on the support components of NDCs (generally included only by developing countries). A similar approach to that described for adaptation could be developed for support.

1. Quantifiable information on the reference point

a) Reference or base year

A reference year or base year is the year in terms of which an NDC target is defined; for instance a 40% reduction in relation to the year 1990 – in which case 1990 is the reference year. In the case of a reduction from a Business as Usual target (for instance, a reduction of 35% compared to Business as Usual), the reference year is the same as the target year, since the reduction is expressed relative to a Business as Usual value in that year. In the case of an absolute emissions target (for instance, emissions will not exceed 600 Mt CO₂-eq in 2030), the concept of a reference point is not applicable, since the target is not defined relative to a reference point. In the case of the NDC consisting of policies and measures, in some cases targets may be expressed in relation to specific outcomes (30 MW of PV panels installed by 2030), or in relation to a reference year (an increase of 20% in the proportion of renewable electricity from 2010). In the former case, a reference level is not applicable. In the latter case, a reference level is applicable.

Included in NDC?

The following options are provided:

<input type="checkbox"/> Yes	reference year is included
<input type="checkbox"/> Partly	there is more than one target and reference years are not provided for all of them
<input type="checkbox"/> No	reference year is not included
<input type="checkbox"/> n/a	the NDC type does not provide for a reference year

Category of Assessment

The following options are provided:

<input type="checkbox"/> Reference year(s)	including for reduction against a baseline / BAU
<input type="checkbox"/> Base year(s)	a year or years in terms of which a target is defined (for instance, 40% reduction by 2030 in relation to the 1990 level (from the EU's NDC))
<input type="checkbox"/> Reference period(s)	a period in terms of which a target is defined (for instance 40% reduction in relation to the average emissions level during the period 2000-2010)
<input type="checkbox"/> other starting point(s)	<i>"Other starting points" should be elaborated further in the "information in NDC" column.</i>

b) Quantifiable information on the reference indicators

Identify whether the NDC includes a value for the reference indicator above (in 1(a)), or information which would lead to its quantification. Provision of the value itself is more

transparent. If 1(a) is not applicable, then this is also not applicable. Values could be in GHG emissions terms (CO₂ or CO₂-eq), or in other terms (for instance, emissions intensity (emissions/GDP)), or in the case of developing countries which are not LDCs (to which Article 4.6 does not apply) who have stated their NDCs in terms of policies and measures, any reference indicators relevant to achievement of the stated policy goals. Attention should be paid as to whether the basis for determining quantification of the land sector has been provided (for instance, as reported in its inventory, or another accounting approach).

Included in NDC?

The following options are provided:

<input type="checkbox"/> Yes	quantified or quantifiable information provided. For the latter, clear guidance on how the reference indicator will be quantified.
<input type="checkbox"/> Partly	applies to a BAU reference, in which the information for the rest of the BAU is lacking
<input type="checkbox"/> No	no quantified or quantifiable information provided
<input type="checkbox"/> n/a	<input type="checkbox"/> target does not have a reference point, or <input type="checkbox"/> NDC is defined in purely qualitative terms

Category of Assessment

The following options are provided:

<input type="checkbox"/> Quantified – in CO₂ or CO₂-eq, or in other emissions units	GHGs quantified in CO ₂ or CO ₂ -eq, or in other units - or instance, non-CO ₂ gases expressed in tons (rather than in CO ₂ -eq), or using an additional metric to GWP, or tons of short-lived climate forcers not covered by IPCC guidelines
<input type="checkbox"/> Quantified – non-GHG units	for instance, for policies and measures – MW of added generation capacity
<input type="checkbox"/> Quantifiable information provided – to quantify in CO₂ or CO₂-eq	the country has provided information which would allow an analyst to quantify the value of the reference indicator, but has not provided the number itself (for instance, GHG emissions in 1990)
<input type="checkbox"/> Quantifiable information provided – to quantify in non-GHG units	to quantify in other units (for instance, MW of added generation capacity in relation to capacity in 2010)
<input type="checkbox"/> No quantifiable information	

c) Information on strategies, plans, actions

This provision applies to:

- LDCs and SIDS, who in terms of Article 4.6 may submit information on strategies, plans and actions as their NDC; and
- Parties that have chosen PAMs without quantifiable information, provide other information. These Parties still have the same legal obligation under Article 4.2 as everyone, that is to submit NDCs every five years. They may include these strategies, plans and actions in their NDC, and cite special circumstances

Completing 1c) is an alternative to 1 b), so the other cell would be marked n/a.

Included in NDC?

The following options are provided:

<input type="checkbox"/> Yes	country has provided reference points in relation to PAMs in their NDC
<input type="checkbox"/> Partly	some of this information has been provided
<input type="checkbox"/> No	none of this information has been provided, but the country has an NDC which requires reference points for PAMs
<input type="checkbox"/> n/a	not applicable to NDC

Category of Assessment

The following options are provided:

<input type="checkbox"/> Country has provided reference points for relevant quantified goals for specific PAMs	for each PAM which requires one, the country has provide a reference point.
<input type="checkbox"/> Country has provided reference point for qualitative goals for PAMs with non-quantified goals	for non-quantifiable PAMs (for instance, introduce a carbon tax), the reference point would usually be the starting point (there is currently no carbon tax in the country).

d) Target relative to the reference indicator

Identify whether the target is “expressed numerically, for example in percentage or amount of reduction”, as per the Annex of 4/CMA.1. For countries which have absolute targets, in GHG terms or others, and for countries which do not have quantifiable targets, this does not apply.

Included in NDC?

The following options are provided:

<input type="checkbox"/> Yes	target relative to the reference indicator is included
<input type="checkbox"/> No	target relative to the reference indicator is not included
<input type="checkbox"/> n/a	not applicable to the NDC’s target type

Category of Assessment

The following options are provided:

<input type="checkbox"/> % reduction from base year	For instance, 20% reduction from 1990 levels
<input type="checkbox"/> % reduction from BAU%	For instance, 22% reduction form BAU in 2030
<input type="checkbox"/> intensity reduction from base year	For instance, 45% reduction in GHG intensity from 2005 levels
<input type="checkbox"/> other	

e) Information on sources of data used

Identify the quality of the source of data used to quantify the reference point(s), and for enhanced conformance, how readily traceable it is. A clear source of the quantified or quantifiable information, e.g. a GHG inventory; next best would be a reference to other underlying data sources; and no clear source would be least transparent.

Traceability refers to whether the source of data is readily found or not.

Included in NDC?

The following options are provided:

<input type="checkbox"/> Yes	detailed data sources for reference indicators
<input type="checkbox"/> Partly	references to sources, no detail / only some data sourced
<input type="checkbox"/> No	no information
<input type="checkbox"/> n/a	reference indicators not applicable to NDC type

Category of Assessment

The following options are provided:

Source:	
<input type="checkbox"/> GHG inventory	
<input type="checkbox"/> reference to underlying data sources	
<input type="checkbox"/> other studies	
Enhanced conformance – traceability:	
<input type="checkbox"/> source readily found	

f) Updating values of reference indicators

Parties should indicate under what circumstances they plan to update their reference indicators. This would obviously have a potentially significant impact on their target. These may include the following:

- GHG inventory: Parties may change their reference levels as a result of GHG inventory recalculations.

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- Parties may indicate that they intend to recalculate their BAU before, during or after the implementation period.
- Intensity: If GHG inventory information were recalculated, the intensity should be updated for successive NDCs, but remain fixed for the period of implementation period.

Included in NDC?

The following options are provided:

<input type="checkbox"/> Yes	information is included
<input type="checkbox"/> No	information is not included
<input type="checkbox"/> n/a	not applicable to NDC type

Category of Assessment

The following options are provided:

GHG inventory	
<input type="checkbox"/> how values may be updated	information provided on whether recalculations will be taken into account / other reasons
<input type="checkbox"/> information on when this may occur	
Baseline projections	
<input type="checkbox"/> Information on whether the baseline will be updated, when and why	
Intensity	
<input type="checkbox"/> recalculation of GHG inventory, how this updates successive NDCs, while remaining fixed in period	
<input type="checkbox"/> Other reasons	

2. Time frames and/or periods for implementation

a) Time frame and/or period for implementation

“Time frame” here refers to the period between NDC targets. Most Parties took the initial view that this would be five or ten years, and there is an ongoing negotiation process to decide on a “common time frame”. “Period of implementation” corresponds to the time frame, and is the period during which implementation of the NDC target will be reported on. Most countries in their initial NDCs have not explicitly stated a time frame or period of implementation. For this part of the assessment, it is necessary for a country to have EXPLICITLY stated its time frame and start and end dates of its period of implementation. For most NDCs one can infer a time frame, in which case this can be noted in the “Information” column.

Included in NDC?

The following options are provided:

<input type="checkbox"/> Yes	time frame and start and end date of period of implementation provided
<input type="checkbox"/> Partly	some of the above information provided
<input type="checkbox"/> no	none of the above information provided

Category of Assessment

The following options are provided:

<input type="checkbox"/> Stated time frame of 5 years	NDC explicitly contains the information that the NDC has a time frame of five years
<input type="checkbox"/> Stated time frame of 10 years	NDC explicitly contains the information that the NDC has a time frame of ten years
<input type="checkbox"/> Other stated time frame	NDC explicitly states that the NDC has another time frame
<input type="checkbox"/> Start date: 1 Jan YYYY	NDC explicitly contains the start date of the period of implementation
<input type="checkbox"/> End date: 31 Dec YYYY	NDC explicitly contains the end date of the period of implementation

b) Whether it is a single-year or multi-year target, as applicable

A single-year target (most NDCs) is a target in which the achievement of the target is measured by an indicator for a single year. For instance, a 40% reduction in emissions compared to their 1990 level by 2030. A multi-year target is a target in which the achievement of the target is measured by the value of an indicator for more than one year. This may take the form of an emissions trajectory (an emission target for each year during the period of implementation) or an emissions budget for the whole period of implementation, similar to the “assigned amount” in the Kyoto Protocol; for instance,

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emissions will not exceed a total budget of 2500 Mt CO₂ eq during the period 2021-2025. In the case of an NDC consisting of policies and measures, each PAM should have a common target year for the NDC to have a single target year. The Annex requires countries to explicitly state whether the NDC contains a single- or multi-year target. The inferred information on the target can be reported in the information column.

Included in NDC?

Does the NDC explicitly contain the information as to whether their target is a single or multi-year target?

Category of Assessment

The following options are provided:

<input type="checkbox"/> Single-year target	NDC <i>explicitly</i> contains the information that the target is a single-year target
<input type="checkbox"/> Multi-year target	NDC <i>explicitly</i> contains the information that the target is a multi-year target

3. Scope and coverage

a) General description of the target

The country should provide here a summary of the target which includes some detail. Further detail is contained in the provisions below.

Included in NDC?

The following options are provided:

<input type="checkbox"/> Yes	The two elements below are described in the NDC
<input type="checkbox"/> No	The two elements below are not described in the NDC

Category of Assessment

The following options are provided:

<input type="checkbox"/> Key goals of the target – emissions reduction/limitation, intensity, BAU reduction, PAMs, mitigation co-benefits, in quantitative or qualitative terms	Key goals of the target are clearly defined
<input type="checkbox"/> Time frame, period of implementation, target year(s)	At least one of these is provided

b) Sectors, gases, categories and pools

This section should provide information on the coverage of the NDC. “Sectors” refer to the main sector categories in the IPCC 2006 GHG inventory guidelines (i.e. energy, industrial process and product utilization emissions (IPPU), agriculture, forestry and land use emissions (AFOLU), Waste and “other”. Some countries opt to separate land use and agriculture emissions. Coverage of gases refer to the group of seven gases (or groups of gases in the cases of HFCs and PFCs) required to be reported on in countries’ GHG inventories⁶. “Categories” refer to the categories used to classify emissions in each sector in the IPCC 2006 guidelines, and “pools” refer to carbon stocks, also defined in the IPCC 2006 guidelines. In their first NDCs, many countries do not explicitly provide this information. Some countries use terms such as “economy-wide” to indicate that all sectors are covered, and others refer to the coverage of their national inventories. In assessing conformance with this provision, only explicit mention of relevant sectors/gases/categories/pools should be considered. Other implied information can be reflected in the “information” column.

Included in NDC?

The following options are provided:

⁶ In terms of the reporting guidelines for the Paris Agreement (18/CMA.1), developing countries have flexibility, if they lack the capacity to report on all seven, to report on a minimum of three gases (CO₂, CH₄, N₂O).

<input type="checkbox"/> Yes	information on sectors, gases, categories and pools included in the NDC is explicitly provided
<input type="checkbox"/> Partly	some of this information is provided
<input type="checkbox"/> No	none of this information is provided

Category of Assessment

This provision requires countries to include detailed information on which sectors, categories, greenhouse gases and carbon pools are included in the NDC. If a country's NDC does not cover a whole sector (for instance, in "energy", it covers emissions from the power sector, but not from the transport sector), information should be provided on which categories are covered / are not covered within each sector. More information on this can be found in the IPCC 2006 guidelines.

Sectors:	
<input type="checkbox"/> Energy	The country has included energy emissions (combustion and fugitive emissions) in the coverage of its NDC.
<input type="checkbox"/> IPPU	The country has included emissions from industrial process and product use in its NDC.
<input type="checkbox"/> AFOLU	The country has included emissions from agriculture, forestry and land use in its NDC. Countries may (sometimes as a result of using the 1996 IPCC guidelines, which define these as separate sectors) specify the inclusion of agriculture and land use, land use change and forestry (LULUCF) separately.
<input type="checkbox"/> Waste	The country has included emissions from waste in its NDC.
<input type="checkbox"/> Other	This is a catch-all category for any emissions which do not fall into the above categories. Many countries do not report any emissions in this category, so coverage of the above sectors may be considered as complete coverage.
<input type="checkbox"/> Categories and sub-categories used for each sector above in the NDC	If the country is not including all the categories in a specific sector above, it should report which categories it is including.
Gases:	
<input type="checkbox"/> Carbon dioxide: CO₂	
<input type="checkbox"/> Methane: CH₄	
<input type="checkbox"/> Nitrous oxide: N₂O	
<input type="checkbox"/> Perfluorocarbons: PFCs	
<input type="checkbox"/> Hydrofluorocarbons: HFC	
<input type="checkbox"/> Sulphur hexafluoride:	

SF₆	
<input type="checkbox"/> Nitrogen trifluoride: NF₃	
Pools	
See 2006 IPCC guidelines for guidance on carbon pools.	
<input type="checkbox"/> aboveground biomass	
<input type="checkbox"/> belowground biomass	
<input type="checkbox"/> dead wood	
<input type="checkbox"/> litter	
<input type="checkbox"/> soil organic matter	

c) Exclusion and inclusion of categories

The Annex requires countries to include information in their NDCs as to how “paragraph 31(c) and (d) of 1/CP.21” have been taken into consideration. Paragraph 31(c) requires all countries to “strive to include all categories of anthropogenic emissions and removals in their nationally determined contributions”, and once a category is included, to keep including it for subsequent NDCs; and paragraph 31(d) requires countries to provide an explanation for leaving out of their NDC any categories of emissions or removals. While countries cannot be expected to include information on this comparison for their first NDCs, enhanced conformance in this regard would be for countries to compare their current NDCs to their previous commitments under the Convention or the Kyoto Protocol in terms of coverage. Countries can however be expected to explain the exclusion of any categories. The explanation in the case of developing countries may include capacity issues. Developed countries are required in terms of Article 4.4 to have “economy-wide” targets, and explanations should be evaluated in this light.

Included in NDC?

The following options are provided:

<input type="checkbox"/> Yes	country has provided a comparison with its previous NDC in terms of which categories are covered; the country has also provided an explanation for any categories which are excluded.
<input type="checkbox"/> Partly	one of the above
<input type="checkbox"/> No	none of the above

Category of Assessment

The following options are provided:

<input type="checkbox"/> Comparison of categories of anthropogenic emissions and removal included in previous NDC and current NDCs	
<input type="checkbox"/> Explanation for the omission of any categories	

d) Mitigation co-benefits of adaptation actions

Identify whether the country has included in its NDC a) economic diversification plans and b) adaptation actions, that have mitigation co-benefits. If a country has not included these, this provision does not apply. This should not include actions or undertakings to adapt to the adverse effects of climate change; the actions or plans must have mitigation co-benefits.

Enhanced conformance would be quantifying the co-benefits, in units of CO2-eq.

Included in NDC?

The following options are provided:

<input type="checkbox"/> Yes	country's NDC consists of mitigation co-benefits of adaptation actions, the country provided detailed information of mitigation co-benefits per action
<input type="checkbox"/> Partly	some detailed information
<input type="checkbox"/> No	no detailed information
<input type="checkbox"/> n/a	not applicable

Category of Assessment

The following options are provided:

Economic diversification	
<input type="checkbox"/> Energy Efficiency	
<input type="checkbox"/> Renewable energy	
<input type="checkbox"/> Carbon Capture and Utilization/Storage	
<input type="checkbox"/> Utilization of gas	
<input type="checkbox"/> Methane recovery and flare minimization	
Adaptation actions	
<input type="checkbox"/> Water and waste-water management	
<input type="checkbox"/> Urban planning	

<input type="checkbox"/> Marine Protection	
<input type="checkbox"/> Reduced desertification	
Mitigation co-benefits	
<input type="checkbox"/> Stated – yes / no	
<input type="checkbox"/> Quantified	
<input type="checkbox"/> In t CO₂-eq	

4. Planning processes

a) Information on the planning processes

Countries are required to provide information in their NDCs on the “planning process that the Party undertook to prepare their nationally determined contribution”, and “if available”, on plans to implement the NDC, in the two following subsections:

i. Domestic institutional arrangements, public participation and engagement

This includes “engagement with local communities and indigenous peoples, in a gender-responsive manner”. Countries should explain what the institutional arrangements for developing their NDC were/are, and how their consultation processes were implemented. It is important to note that the Annex does not oblige countries to consult in any particular way with any specific constituency during their NDC development processes, or at all, but it does require countries to provide information on whether they have consulted and engaged and the extent to which they did so. If information is available for implementation, this should also be provided. Enhanced conformance would be if the country explains how its planning helps to ensure that the objective of its NDC will be achieved, which would be a strong interpretation of Article 4.2.

Included in NDC?

The following options are provided:

<input type="checkbox"/> Yes	all of the information was included. Countries indicated that implementation information is/is not available and reported it/did not report it accordingly
<input type="checkbox"/> Partly	some of the information was included
<input type="checkbox"/> No	none of the information was included

Category of Assessment

The following options are provided:

Domestic institutional arrangements:	
<input type="checkbox"/> No information provided	no information is provided on institutional arrangements for the development of the NDC or for the implementation of the NDC
<input type="checkbox"/> Some information provided	basic information, including which parts of government are responsible for developing and communicating the NDC, and in terms of which policy / legislation / regulations; information on how the NDC will be implemented and which parts of government will be responsible for this;
<input type="checkbox"/> Detailed information provided	detailed information on which functions in government are responsible for development of the NDC and what the involvement of other parts of government is, as well as detailed information on implementation
Public participation and engagement:	
<input type="checkbox"/> No information provided	no information
<input type="checkbox"/> Some information provided	brief description of the public participation process in developing and implementing the NDC
<input type="checkbox"/> Detailed information provided	detailed description of the public participation process
Stakeholders engaged: Does the country include information on the involvement of the following in developing and implementing the NDC?	
<input type="checkbox"/> local communities	
<input type="checkbox"/> indigenous peoples	
<input type="checkbox"/> other stakeholders	
Does the country report on whether the NDC process was conducted in a gender-responsive manner?:	
<input type="checkbox"/> No information provided	
<input type="checkbox"/> Some information provided	
<input type="checkbox"/> Detailed information provided	
Implementation plans:	
<input type="checkbox"/> available	plans are available and are provided

	Enhanced conformance:
	<input type="checkbox"/> detailed information on how implementation plans will achieve the objectives of its NDC
<input type="checkbox"/> not available	plans are not available and the country provides an explanation for this

ii. Contextual matters, including relevant national circumstances, best practices and “other contextual aspirations and priorities acknowledged when joining the Paris Agreement”

“Contextual matters” include national circumstances relevant to the NDC, best practices identified and experience gained in relation to the development of the NDC in the country concerned. “Other contextual aspirations and priorities” identified by the country when joining the Paris Agreement are possibly but not necessarily limited to any statement by the country concerned accompanying its ratification of the Paris Agreement. The latter has some legal standing, but any other aspirations and priorities remembered afterwards have much less standing.

Included in NDC?

The following options are provided:

<input type="checkbox"/> Yes	all the information in the list below is provided
<input type="checkbox"/> Partly	some of the information in the list below is provided
<input type="checkbox"/> No	none of the information in the list below is provided

Category of Assessment

The following options are provided:

Inclusion of relevant national circumstances:	
e.g. geography, climate, economy, sustainable development and poverty eradication	
<input type="checkbox"/> no information provided	
<input type="checkbox"/> some information provided	
<input type="checkbox"/> detailed information provided	
Best practices and experience shared: Reporting on best practices and experience related to the preparation of the NDC;	
<input type="checkbox"/> none	
<input type="checkbox"/> some	
<input type="checkbox"/> many	
Other contextual aspirations and priorities acknowledged when joining the Paris Agreement:	
<input type="checkbox"/> yes	
<input type="checkbox"/> no	

b) Specific information applicable to Parties

This applies only to regional economic integration organizations (REIOs) which have decided to act jointly in submitting and implementing their NDCs, and the European Union is currently the only REIO that is a Party to the Paris Agreement which has indicated that it and its member states will do this. For all other countries, this section is not applicable, unless new REIOs join the Agreement and indicate that they will act jointly in this way. Such groups of Parties are obliged to communicate to the Secretariat the terms of their agreement to meet a joint target, including “the emission level allocated to each Party within the relevant time period”.

Included in NDC?

The following options are provided:

<input type="checkbox"/> Yes	NDC of the REIO contains the terms of the agreement in terms of which the target will be reached collectively, including the emissions level allocated to each country.
<input type="checkbox"/> Partly	some of the information above
<input type="checkbox"/> No	not provided
<input type="checkbox"/> n/a	not applicable to the country (at the moment, any countries other than those in the EU)

Category of Assessment

The following options are provided:

Terms of the agreement to act jointly:	
<input type="checkbox"/> yes	
<input type="checkbox"/> no	
Emission level allocated to each Party within the relevant time period:	
<input type="checkbox"/> yes	
<input type="checkbox"/> no	
Enhanced conformance:	
<input type="checkbox"/> detailed description of basis of burden-sharing	

c) How preparation of the NDC was informed by the global stocktake

The Paris Agreement contribution cycle is designed around a cycle of action (NDCs and their implementation) and reflection (the Global Stocktake (GST)). The GST is designed to assess progress against the global temperature goal of the Paris Agreement contained in its Article 2. Article 4.9 obliges countries to take the assessment of the GST into account when communicating their next NDC. If global ambition is too low, each country should aim to

address this in their next NDC. This provision requires countries to report on HOW they have taken the GST into account. Countries should provide information on how they have taken this into account. Until the first GST in 2023, countries cannot take this into account, but in their 2020 NDC updates, they can take into account the NDC synthesis paper produced by the UNFCCC Secretariat, which does show that global ambition is very likely to be inadequate to meet the Paris Agreement temperature goal. Since the GST will rely on a similar synthesis paper, the consideration will be similar.

Included in NDC?

The following options are provided:

<input type="checkbox"/> Yes	country has included an account of how the most recent GST has been taken into account, or the UNFCCC Secretariat's NDC synthesis paper.
<input type="checkbox"/> No	no information provided

Category of Assessment

The following options are provided:

Mention of outcome of immediately previous global stock-take (GST):	
<input type="checkbox"/> yes	
<input type="checkbox"/> no	
Enhanced conformance:	
<input type="checkbox"/> consideration of the Secretariat's synthesis paper in the 2020 update.	

d) Response measures and specific projects for mitigation co-benefits

This provision applies only to countries which have submitted NDCs which consist of mitigation co-benefits of adaptation action and/or economic diversification plans:

i. How the economic and social consequences of response measures have been considered in developing the NDC

Refer to planning processes and items under 3 d), above

Included in NDC?

The following options are provided:

<input type="checkbox"/> Yes	NDC contains information on how economic and social consequences of response measures have been considered in developing the NDC
<input type="checkbox"/> No	NDC does not

Category of Assessment

The following options are provided:

<input type="checkbox"/> The NDC contains information on how the economic and social consequences of response measures have been considered in developing the NDC	<input type="checkbox"/>
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ii. Specific projects, measures and activities to be implemented to contribute to mitigation co-benefits,

The country should include information on specific projects, measures and activities – separately for those adaptation projects with mitigation co-benefits and economic diversification. The lists of possible adaptation plans that yield mitigation co-benefits and economic diversification actions are given in the sub-paragraph. They are not mutually exclusive, and others can be included (in which case note if ‘other’ is explained in the nationally determined contribution).

Included in NDC?

The following options are provided:

<input type="checkbox"/> Yes
<input type="checkbox"/> No

Category of Assessment

The following options are provided:

Mitigation co-benefits: The NDC contains information on specific projects, measures and activities for adaptation which mitigation co-benefits in:	
<input type="checkbox"/> energy resources <input type="checkbox"/> water resources <input type="checkbox"/> coastal resources <input type="checkbox"/> human settlements <input type="checkbox"/> urban planning <input type="checkbox"/> agriculture and forestry <input type="checkbox"/> other	
Economic diversification: Specific projects, measures and activities for economic diversification actions in sectors:	
<input type="checkbox"/> manufacturing and industry <input type="checkbox"/> energy and mining <input type="checkbox"/> transport and communication <input type="checkbox"/> construction, tourism <input type="checkbox"/> real estate <input type="checkbox"/> agriculture and fisheries	

<input type="checkbox"/> other	
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5. Assumptions and methodological approaches

a) Accounting guidance

Parties are required to account for their NDCs, which means that they should compare the value of their chosen indicators to the target level specified in their NDC, taking into account the use of Article 6 mechanisms, for which they should perform corresponding adjustments. For emissions-based targets, some countries may choose to use inventory-based methods, whereas others may choose to account for the land sector separately, using either the Kyoto Protocol accounting framework or possibly a REDD+ approach. Some Parties with emissions budgets (multi-year cumulative targets) may choose to use Kyoto Protocol-like accounting approaches to match emissions with their targets. This provision requires countries to describe their accounting approach in general methodological terms; provisions dealing with specific provisions of accounting are below.

Included in NDC?

The following options are provided:

<input type="checkbox"/> Yes	NDC contains a general description of how the NDC will be accounted for, including a detailed description of how the land sector will be accounted for
<input type="checkbox"/> No	NDC does not contain the above information

Category of Assessment

The following options are provided:

<input type="checkbox"/> A general description of the accounting approach	
<input type="checkbox"/> Detailed description of how the country will account for the land sector in its NDC –	cross referenced to 5(c) and (e)

b) Accounting for PAMs or strategies

In addition to the general accounting approach detailed above, countries which have chosen to include policies and measures in their NDCs should provide additional information on accounting for the implementation and achievement of these, which will probably involve metrics other and GHGs. Countries which include PAMs in their NDCs should therefore include detailed information on how they intend to account for these.

Included in NDC?

The following options are provided:

<input type="checkbox"/> Yes	detailed information is included on how the country intends to account for implementation and achievement of its PAMs in its NDC
<input type="checkbox"/> Partly	an overview is provided only
<input type="checkbox"/> No	no information on accounting for PAMs
<input type="checkbox"/> n/a	country's NDC target does not include PAMs

Category of Assessment

The following options are provided:

<input type="checkbox"/> no information provided	
<input type="checkbox"/> some information provided	overview of how PAMs will be accounted for
<input type="checkbox"/> detailed information provided	detail on accounting for all relevant PAMs

c) Existing methods for emissions and removals

This provision requires countries to reporting in their NDCs on how they have drawn on existing methods and guidance under the Convention (the UNFCCC). The guidance in Annex 2 of 4/CMA1 on accounting provides for countries to draw on methods and guidance “under the Convention and its legal instruments”, which would include the Kyoto Protocol. This is particularly important when it comes to accounting for land use emissions.

Included in NDC?

The following options are provided:

<input type="checkbox"/> Yes	countries have reported in detail on the use of existing methods and guidance under the Convention
<input type="checkbox"/> Partly	countries have reported their use, but without detail
<input type="checkbox"/> No	there is evidence that countries have used existing methods and guidance, but this has not been reported
<input type="checkbox"/> n/a	country's NDC does not give any indication that existing methods and guidance has been used

Category of Assessment

The following options are provided:

<input type="checkbox"/> The country has specified that they will use existing methods and guidance	these could either be REDD+ accounting methods or accounting methods from the Kyoto Protocol
<input type="checkbox"/> The country has specified that they will not use existing methods and guidance	
<input type="checkbox"/> The country has not provided any information on this	

d) IPCC methodologies and metrics

Countries should identify which IPCC methodologies (1996 or 2006 guidelines, or other good practice guidance) and metrics (which values for global warming potential have been used – from which IPCC assessment report?) have been used in their accounting.

Included in NDC?

The following options are provided:

<input type="checkbox"/> Yes	both sets of information below were provided
<input type="checkbox"/> Partly	one of the sets of information was provided
<input type="checkbox"/> No	no information was provided

Category of Assessment

The following options are provided:

<input type="checkbox"/> The country has specified in their NDC whether they have used 1996 or 2006 IPCC guidelines for estimating emissions and removals, and/or other IPCC guidance	
<input type="checkbox"/> The country has specified which GWP values it is using (from which IPCC assessment report)	

e) Sector- and activity-specific assumptions

These subcategories apply mainly to the land sector, although there may be other cases in which countries report other sector-specific assumptions.

i. Natural disturbances on managed lands

Countries should include in their NDCs how they have estimated emissions and subsequent removals from natural disturbances on managed lands

ii. Harvested wood products

Countries should include in their NDCs how they have estimated carbon stored in harvested wood products

iii. Age-class structure in forests

Countries should include in their NDCs how they have approached age-class structure in forests

Included in NDC?

The following options are provided in each of the above:

<input type="checkbox"/> Yes	approach has been included in the NDC
<input type="checkbox"/> No	approach has not been included in the NDC
<input type="checkbox"/> n/a	not applicable because the NDC does not include the land sector

f) Other assumptions and methodological approaches

Identify whether any other assumptions and methodologies, not already included above, are included in the NDC, or not. For example, a country that has chosen an intensity target may report on GDP.

i. Reference indicators, baseline(s) and/or reference level(s)

Countries should provide detailed information on reference indicators, for instance in the case of an intensity target, details on how the reference intensity (for example, for the year 2005) was calculated, using what data sources etc. For reference emissions levels, details should be provided for where the emissions level was derived from (usually the country's GHG inventory) and what methodology was used to estimate emissions levels. This also applies to reference levels for sector-specific targets. For targets defined in terms of a reduction from a Business as Usual emissions projection (baseline), detailed information should be provided on how the BAU trajectory was calculated, including methodologies, data sources and assumptions. This does not apply to NDC without quantitative targets, and it also does not apply to NDCs which contain targets which are absolute emissions levels.

Included in NDC?

The following options are provided:

<input type="checkbox"/> Yes	country has provided detailed information as required, which would allow a reader to calculate the reference level / replicate the baseline calculations
<input type="checkbox"/> Partly	country has provided some information, but not sufficient information to calculate the reference level / baseline or other reference point
<input type="checkbox"/> No	no information has been provided
<input type="checkbox"/> n/a	not applicable to NDC type

Category of Assessment

The following options are provided:

If the Party has chosen a mitigation target relative to a reference level, including emissions reference levels, intensity targets etc	
<input type="checkbox"/> Method for estimating the reference level	
<input type="checkbox"/> Sources of data, as applicable	
If the Party has chosen a mitigation target relative to a baseline scenario:	
<input type="checkbox"/> Base year	
<input type="checkbox"/> Key assumptions (GDP, population, etc)	
<input type="checkbox"/> Methodology (analytical tool) and	
<input type="checkbox"/> Resulting projection at least up to the end year	
<input type="checkbox"/> Data sources	

ii. assumptions and methodological approaches for non-GHG components

Assess whether the country has provided assumptions and methodologies for non-GHG components of their NDC - , whether they are quantified in a manner where mitigation outcomes are clear (e.g. GWh of renewable energy together with a known grid emission factor, so that tons of CO₂-eq would be calculated in the same manner by all, even though the GHG metric is not stated). Other NDCs may be quantifiable, but requiring assumptions to understand mitigation outcomes; yet others not quantifiable. For many NDCs, this is not applicable

Included in NDC?

The following options are provided:

<input type="checkbox"/> Yes	NDC contains a detailed account of its non-GHG targets, including all relevant assumptions and methodological approaches
<input type="checkbox"/> Partly	NDC contains some of this information
<input type="checkbox"/> No	NDC contains none of this information
<input type="checkbox"/> n/a	NDC does not contain non-GHG components

Category of Assessment

The following options are provided:

<input type="checkbox"/> Quantified in a manner where mitigation outcomes are clear	
<input type="checkbox"/> Quantifiable, but requiring assumptions to understand mitigation outcomes	
<input type="checkbox"/> Not quantifiable	

iii. Climate forcers with no IPCC guidelines

Some NDCs include climate forcers such as black carbon, which have no corresponding IPCC guidelines, and are not included in countries' GHG inventories under the UNFCCC and its Paris Agreement. Countries are obliged by this provision to include information on how these are estimated as part of the NDC

Included in NDC?

The following options are provided:

<input type="checkbox"/> Yes	
<input type="checkbox"/> No	
<input type="checkbox"/> n/a	NDC does not contain climate forcers which do not have corresponding IPCC guidelines.

Category of Assessment

The following options are provided:

<input type="checkbox"/> NDC includes black carbon, and includes information on how it is estimated;	
<input type="checkbox"/> NDC includes other short-lived climate forcers, and information on how these are estimated.	

iv. Further technical information

Identify whether any further technical information is included in the NDC, and/or would be required, or not.

g) Intention to use voluntary cooperation under Article 6

Identify whether the country has provided information in its NDC on whether it intends to participate in Article 6 activities (as a host or as a user of ITMOs), and whether it plans to use internationally transferred mitigation outcomes (ITMOs) to achieve its mitigation target, or not. Enhanced conformance is stating the extent to which the target depends on the use of ITMOs.

Included in NDC?

The following options are provided:

<input type="checkbox"/> Yes	country has provided information on its intended participation in Article 6 activities, including whether it intends to use ITMOs to meet its NDC target
<input type="checkbox"/> No	country has not provided this information in its NDC

Category of Assessment

The following options are provided:

<input type="checkbox"/> Information on whether the country intends to participate in Article 6 activities during the NDC implementation period	does the NDC contain this information, including on whether the country intends to host Article 6 activities (and whether Article 6.2, 6.4 or 6.8 activities);
<input type="checkbox"/> Information on whether the country intends to use ITMOs to achieve its NDC	The NDC contains information as to whether the country intends to meet its target by buying emissions reductions via international emissions trading mechanisms set up in terms of Article 6 of the Paris Agreement, or whether it will achieve its target through domestic reductions only.
Enhanced conformance <input type="checkbox"/> extent to which the target depends on use of ITMOs	provision of quantitative information indicating to what extent the country plans to depend on ITMOs to achieve its NDC

6. Fairness and ambition

a) How Party considers its NDC is fair and ambitious

Countries are required by this provision to provide information on how it considers its NDC to be a) fair (a fair contribution to the global mitigation effort in the light of its national circumstances), and b) ambitious (Article 4 requires each country’s “highest possible ambition”). Claims for fairness should be supported by objective sources, in-country or international. It is important to emphasise that the goal of this assessment is to assess to what extent countries have provided the appropriate information, and not to assess whether the NDC itself is fair or ambitious. This particular provision requires countries to provide an account of how they consider their contribution to be fair. Detailed fairness considerations are addressed in the next provision.

Included in NDC?

The following options are provided:

Fair	
<input type="checkbox"/> Yes	NDC contains an explanation of how the Party considers its NDC to be fair
<input type="checkbox"/> No	NDC does not contain any explanation of how it considers its NDC to be fair

Ambitious	
<input type="checkbox"/> Yes	NDC contains an explanation of how it considers its target to be ambitious
<input type="checkbox"/> No	NDC does not contain any explanation;

Category of Assessment

The following options are provided:

<input type="checkbox"/> inclusion of grounds for why the NDC target is fair	
<input type="checkbox"/> inclusion of grounds for why the NDC target is ambitious	

b) Fairness considerations, including reflecting on equity

Does the NDC include fairness considerations, including reflecting on equity, or not?

Included in NDC?

The following options are provided:

<input type="checkbox"/> Yes	NDC contains a detailed explanation on why the NDC is a fair contribution to the global mitigation effort, substantiated by references to the proposed mitigation effort in the NDC in relation to national and international analyses in the equity literature (for example, the Climate Reference Equity Calculator, Climate Action Tracker or others)
<input type="checkbox"/> Partly	NDC contains references to indicators (for instance per capita emissions) referred to in the equity literature, but not to any detailed equity analyses in the literature
<input type="checkbox"/> No	NDC does not contain any explanation as to why it is a fair contribution.

Category of Assessment

The following options are provided:

The country has provided in its NDC:	
<input type="checkbox"/> References to equity analyses by international experts	
<input type="checkbox"/> References to equity analyses by in-country experts	
<input type="checkbox"/> References to indicators found in equity literature	
<input type="checkbox"/> References to the application of preferred equity indicators to other countries	

c) How the Party has addressed Article 4, paragraph 3, of the Paris Agreement

Article 4.3 of the Paris Agreement requires that a) each NDC is a progression on the last NDC; b) that each NDC will reflect a country's "highest possible ambition", taking into account common but differentiated responsibilities and respective capabilities.

i. Progression:

Identify whether the country claims that the mitigation target in the current NDC is more stringent than the target in the previous NDC. This is obviously not possible before countries submit their second NDCs, but a comparison between countries' Cancun / Kyoto Protocol targets and their NDCs could be made in their NDCs. Several other shifts between NDCs

could also be considered progression for developing countries, including moving from another kind of target to an economy-wide absolute emissions target, and including more sectors in the target.

Enhanced conformance would be a numerical statement of how much more stringent the mitigation target is, with a higher number being better.

ii. Highest possible ambition

Countries should provide grounds for claims that their NDC target constitutes the “highest possible ambition”. Identify whether the country has referred to a national analysis of mitigation potential or not, and provided an explanation as to what level of mitigation potential the country has decided on.

Assess highest possible ambition, referring to 6 a above, where highest puts mitigation ambition in the context of global efforts to pursue 1.5 °C, and high: well below 2 °C.

iii. CBDRRC-ILONDC

Identify which components of the term “common but differentiated responsibilities and respective capabilities, in the light of different national circumstances” (CBDRRC-ILONDC) are used in the NDC in relation to fairness and ambition: the full term; first part; truncated; second part; or not used.

Included in NDC?

The following options are provided:

Progression:	
<input type="checkbox"/> Yes	country has provided a clear assessment as to why its current NDC is a progression on the previous NDC or other target, which provides detailed grounds for why it is more ambitious, including a quantitative analysis with references to mitigation potential analyses
<input type="checkbox"/> Partly	country has provided a comparison but no assessment
<input type="checkbox"/> No	country has provided no information on progression

Ambition:	
<input type="checkbox"/> Yes	country has provided evidence in the form of references to relevant analyses which demonstrate that the NDC target is aligned with the Paris Agreement global temperature goals of “well below 2 degrees” or 1.5 degrees, including in terms of equity; and that it represents its “highest possible ambition” (Article 4.3) in mitigation terms, including references to national mitigation potential analyses
<input type="checkbox"/> Partly	country has provided a comparison, but not detailed information.
<input type="checkbox"/> No	no information provided

Common but differentiated responsibilities and respective capabilities:	
<input type="checkbox"/> Yes	country provides an explanation of its level of ambition in terms of common but differentiated responsibilities and respective capabilities, in the light of different national circumstances
<input type="checkbox"/> Partly	country provides one of the above
<input type="checkbox"/> No	no explanation provided

Category of Assessment

The following options are provided:

Progression:	
<input type="checkbox"/> NDC contains a statement that the mitigation target in NDC is more stringent than the country's previous NDC or emissions target under the Convention or Kyoto Protocol	
<input type="checkbox"/> If a developing country, the target type has changed to an economy-wide absolute emissions target, and/or more sectors have been included in the target	
<input type="checkbox"/> An assessment of progression is provided, with reference to mitigation potential analyses	

Highest possible ambition, referring to 6 a above:	
<input type="checkbox"/> A reference to ambition in terms of the 1.5 °C target	
<input type="checkbox"/> A reference to ambition in terms of the "well below 2 °C" target	
<input type="checkbox"/> A reference to a national mitigation potential analysis	
<input type="checkbox"/> An explanation in terms of national circumstances for the level of ambition chosen, with reference to the national mitigation potential analysis	

Common but differentiated responsibilities and respective capabilities, in the light of different national circumstances (CBDRRC-ILONDC) - Terms used:	
<input type="checkbox"/> Explanations of ambition in terms of common but responsibilities and respective capabilities	

<input type="checkbox"/> Explanation of ambition in terms of national circumstances	
<input type="checkbox"/> None	

d) How the Party has addressed Article 4, paragraph 4, of the Paris Agreement

Article 4.4 is one of the only instances in Article 4 in which a clear distinction is made between developed and developing countries. Developed countries are required to “take the lead by undertaking economy-wide absolute emissions reduction targets”, whereas developing countries are to “continue enhancing their mitigation efforts” and to move to economy-wide emissions limitation or reduction targets over time.

i. Developed country NDC

Assess whether the NDC states explicitly that it shows leadership through economy-wide absolute emission reduction targets, or not.

ii. Developing country NDCs

Identify whether the NDC refers to enhancing their mitigation efforts, or not.

Assess whether “economy-wide emission reduction or limitation targets” are included in the current NDC; or if not, whether an indication is given of moving to this form in the next NDC; or whether timing is not stated.

Included in NDC?

The following options are provided:

<input type="checkbox"/> Yes	developed countries refer to and substantiate leadership; developing countries provide grounds for “enhanced mitigation” and a timetable for moving to an economy-wide emissions-based target
<input type="checkbox"/> No	no information

Category of Assessment

The following options are provided:

Developed country NDCs:	
<input type="checkbox"/> reference to leadership via economy-wide absolute emission reduction targets	

Developing country NDCs:	
<input type="checkbox"/> reference to enhancing their mitigation efforts	
<input type="checkbox"/> timing to move to an economy-wide emission reduction or limitation target indicated	

e) How the Party has addressed Article 4, paragraph 6, of the Paris Agreement

Identify whether NDCs of LDCs and SIDS address fairness and ambition in strategies, plans and actions communicated, or not. For countries other than LDCs or SIDS, this is not applicable.

Included in NDC?

The following options are provided:

FOR LDCs and SIDS - Fairness and/or ambition addressed in strategies, plans and actions:	
<input type="checkbox"/> Yes	fairness <u>and</u> ambition are addressed
<input type="checkbox"/> Partly	fairness <u>or</u> ambition are addressed
<input type="checkbox"/> No	fairness and ambition are not addressed
<input type="checkbox"/> n/a	country is not a SIDS and / or LDC

Category of Assessment

The following options are provided:

NDC of LDCs and SIDS	
<input type="checkbox"/> Fairness addressed in strategies, plans and actions communicated	
<input type="checkbox"/> Ambition addressed in strategies, plans and actions communicated	
<input type="checkbox"/> Neither of the above	

7. Contribution to UNFCCC Article 2

a) NDC contribution to FCCC Article 2

Article 2 of the United Nations Framework Convention on Climate Change (‘the Convention’) states the ultimate objective of “stabilization of greenhouse gas concentrations in the atmosphere at a level that would prevent dangerous anthropogenic interference with the climate system” (UNFCCC 1992). The second sentence states that such stabilization should be achieved “within a time frame sufficient to allow ecosystems to adapt naturally to climate change, to ensure that food production is not threatened and to enable economic development to proceed in a sustainable manner”. Countries should therefore include in their NDCs a reference to Article 2 of the Convention in relation to their mitigation ambition, which they should also report on in terms of the objectives of the Paris Agreement’s enhanced transparency framework as set out in its Article 13.5.

Included in NDC?

The following options are provided:

<input type="checkbox"/> Yes	all the information below is contained in the NDC
<input type="checkbox"/> Partly	some of the information below
<input type="checkbox"/> No	none of the information below

Category of Assessment

The following options are provided:

<input type="checkbox"/> The NDC refers to Article 2 of the Convention in relation to mitigation ambition	
<input type="checkbox"/> The NDC contains information on how it contributes to the reduction of emissions in terms of Article 2 of the Convention	
<input type="checkbox"/> The NDC contains information on how natural sinks are being maintained and enhanced	

b) NDC contribution to the Paris Agreement’s Articles 2.1(a) and 4.1

Article 2.1(a) of the Paris Agreement includes two global temperature goals – “well below 2 degrees” and 1.5 degrees. Article 4.1 qualifies these by stating that “Parties aim to reach global peaking of greenhouse gas emissions as soon as possible, recognising that peaking will take longer for developing country Parties, and to undertake rapid reductions thereafter in accordance with best available science..”, and that Parties would also strive to “achieve a balance between anthropogenic emissions by source and removals by sinks” in the second half of this century. This provision therefore requests countries to explain in their NDCs how their NDCs are contributing to a) global peaking and b) reaching net zero emissions⁷, in the context of the temperature goals.

Included in NDC?

The following options are provided:

<input type="checkbox"/> Yes	NDC contains all of the information below
<input type="checkbox"/> Partly	NDC contains some of the information below
<input type="checkbox"/> No	NDC contains none of the information below

Category of Assessment

The following options are provided:

<input type="checkbox"/> NDC contains a reference to the peaking year – either when it occurred or when it is projected to be	
<input type="checkbox"/> For countries whose emissions have peaked, the NDC provides grounds for the NDC target being consistent with “rapid reductions thereafter”	
<input type="checkbox"/> NDC contains a reference to a national policy goal of net zero emissions, and by which year	
<input type="checkbox"/> NDC contains a clear link between the long-term temperature goals and the country’s NDC	

⁷ “Net zero emissions” is a shorthand for the ‘balance’ of emissions and sources and removals by sinks in Article 4.1. In this context this would include all greenhouse gases. In most contexts, “net zero” refers to the IPCC’s Special Report on 1.5 degrees’ finding concerning the need to reach net zero CO₂ emissions around 2050 globally, which is less ambitious than a net zero goal for all emissions.

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Glossary

Business As Usual – a GHG emissions trajectory for a country, usually based on no further climate policies being implemented. Used to indicate the effect on GHG emissions of implementing climate policies

AR – Assessment Report – A series of reports produced periodically by the IPCC to assess the latest climate science

CBDRRC-ILONDC - common but differentiated responsibilities and respective capabilities, in the light of different national circumstances

COP – Conference of the Parties to the UNFCCC

CP – Conference of the Parties to the UNFCCC

CMA – Conference of the Parties serving as the Meeting of the Parties to the Paris Agreement

GHG – Greenhouse Gas

GWP – Global Warming Potential – the common metric used to convert tons of other greenhouse gases into CO₂-equivalent (for instance, if methane has a GWP of 25, it implies that 1 ton of methane has the same global warming impact as 25 tons of CO₂, over a specific time period (usually 100 years))

GST – Global Stocktake, held every five years in terms of Article 14 of the Paris Agreement

ICTU – Information for clarity, transparency and understanding

IPCC – International Panel on Climate Change

ITMO – Internationally Transferred Mitigation Outcome – a transaction in which one country transfers its mitigation outcomes (usually in tons) to another country, which can then count the ITMO towards its NDC. A reference to Article 6 of the Paris Agreement, which deals with market mechanisms (commonly referred to as international carbon markets).

Katowice Rule Book – a series of decisions taken at COP 24 held in 2018 in Katowice, Poland, which set out in detail how countries should implement the Paris Agreement

LDC – Least Developed Country

NDC – Nationally Determined Contribution

PA - Paris Agreement

PAMs – Policies and Measures

REIO – Regional Economic Integration Organisations, such as the European Union

SIDS – Small Island Developing States

UNFCCC – United Nations Framework Convention on Climate Change