

# Non-State and Subnational Action Guidance

*Guidance for integrating the impact of non-state and subnational mitigation actions into national greenhouse gas projections, targets and planning*

*July 2018*

## How to select relevant actions and policies

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### 5. CREATING A LIST OF ALL RELEVANT NON-STATE AND SUBNATIONAL ACTIONS

*This chapter describes how to develop a list of non-state and subnational actions considered relevant for the assessment.*

#### Checklist of key recommendations

- Compile a list of relevant non-state and subnational actions occurring within the assessment boundary

#### 5.1 Create a list of relevant non-state and subnational actions

It is a *key recommendation* to compile a list of relevant non-state and subnational actions within the assessment boundary. This list should reflect the assessment boundary and therefore may include all relevant non-state and subnational action, or a specific subset based on the target actor group and action types included in the assessment boundary. Users should collect data on actions that reflect the definition provided in Key Concepts in Chapter 3. Box 5.1 provides further points to consider when creating the list.

Depending on the objective selected, users may want to complete the steps in Chapter 7 on collecting information on national policies and actions or projection models *before* undertaking the steps in Chapters 5 and 6. In this case, users should proceed to Chapter 7 and upon completion of those steps, come back to this chapter.

*Box 5.1: How to recognise and select suitable non-state and subnational climate action*

Users should seek out actions for their assessment that will ultimately result in a reduction of GHG emissions. Action types include: general statements calling for action, quantifiable targets for reducing emissions, commitments, plans and strategies, and concrete policies and programs A number of key

elements may be helpful to keep in mind as users identify relevant actions, although, not all actions may necessarily contain all elements, and not all elements may be known:

- Documentation of the action includes a clear mention of climate change, mitigation, GHG emissions reductions, or support for specific or general climate policy
- The description of the action itself clearly aims to reduce GHG emissions
- The action is focused on a specific activity or technology known to reduce GHG emissions
- The action specifies a base year and/or a target year by which to achieve a reduction of GHG emissions
- The action will take place (at least partially) within the boundary determined in Chapter 4
- The action is something that may be considered additional to business as usual or normal practice
- Ideally, the action specifies intended impact using known, comparable metrics and clarifies any assumptions as this will reduce limitations in the assessment

In addition, different assessments may require different types of data. For example, a comprehensive, economy-wide assessment with an objective to determine the impact of non-state and subnational action on the country's overall emissions pathway will require information on base year emissions of those non-state and subnational actions. These can also be estimated if no information is provided directly by non-state and subnational actors<sup>1</sup>. If an action does not specify a base year, a user can assume one based on the year the action was established.

At a minimum, users should collect information on actors, sectors targeted, the geographic coverage of actions (which is particularly important for non-state actions), and targets in their list of relevant non-state and subnational actions. Additional information on the year the action was established or adopted, the base year and target year, as well as qualitative information such as the current status, or reported progress may also be required. If assessment includes all action types, users may want to also record the type of action to organise actions for later processing and to help inform a decision on whether or not to include the action in the final assessment. Users may also want to record any known details related to the origin or impetus for the action being established. For example, if a business action is in response to a regulatory requirement or if a subnational action may be contribution toward a target of a higher-level jurisdiction. If such information exists, it may be helpful to determine whether there are any overlaps in Chapter 9.

Data availability may be a significant challenge for some users. Application of this guidance will require the development of a dataset that may not exist at the outset of the assessment process. While there are many benefits to developing new datasets as noted below, users may need to consider the time, resources and support that may be needed to collect the necessary data. The amount of data available may inform the overall objective and scope of the assessment and may impact how well the assessment adheres to the principles.

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<sup>1</sup> For guidance on how to quantify base year emissions, users may refer to the Greenhouse Gas Protocol Mitigation Goal Standard.

If the users' objective is to perform a comprehensive assessment, they might want to separate non-state and subnational energy supply targets ("end-use" targets) from non-energy supply targets ("production-related" targets) to support the overlap analysis in Chapter 9.

Table 5.1 provides a template for organising the collected information. To create the list, users should start with available data from national and international sources. This may include gathering any information previously used in developing climate policies or scenarios; drawing from international databases; or requesting data from data management organisations. To support users with this task, a list of the most widely and internationally-accepted data sources for non-state and subnational action currently available can be found in Appendix A. Most of these are regularly updated and therefore users may want to periodically update their list of related non-state and subnational actions that will feed into the national assessment. Box 5.2 provides tips for collecting information on non-state and subnational action, including how to organise the data collection process and where to look for information. The identification of non-state action is an iterative process and should be updated with each ex-ante assessment. Therefore, it is recommended that users also include information on where and how the information has been collected. Finally, users should keep in mind that the column "Action retained for further analysis" in Table 5.1 is included as a placeholder for further analysis and is to be filled in subsequent steps.

Table 5.1: Template for information gathering on non-state and subnational action

Actor	Sector(s) targeted (based on IPCC main categories or existing climate models or tools)	Geographic coverage (global, national, regional, city)	Commitment or action?	Target (incl. base/target year; assumptions if available/needed)	Is progress monitored? (Optional)	Data sources	Action retained for further analysis?
Example: City of Amsterdam	Energy	City level	Commitment	Install 75,000 MW of renewable energy capacity by 2020	Unclear	NAZCA	To be filled after completing the next step (see next chapter)
Safran (French multinational company)	Industrial process and product use	Global	Commitment	Reduce operational CO <sub>2</sub> e emissions by 5% from 2015 to 2018; base year emissions: 18,920 tCO <sub>2</sub> e	Yes	CDP	To be filled after completing the next step (see next chapter)

*Box 5.2: Tips for collecting information on non-state and subnational action*

**Clarify data needs.** Users should decide which data is required for the analysis they wish to conduct, based on the objectives for conducting the assessment. Standards, methodologies, verification systems and data quality vary widely among existing international databases. In addition to data published on those platforms, users may want to consider capturing further details regarding how data was generated or collected to support judgements throughout the assessment process regarding how likely a non-state or subnational action is to have an impact or overlap with other actions, including those at the national level.

**Build on existing data.** Users should leverage existing databases and networks and build from what has already been collected to avoid duplicating existing data collection efforts.

**Prepare any necessary tables, spreadsheets and other tools to organise information.** Users may want to tailor tables and templates to the national circumstances and the objectives of their assessment. Over the long-run, users may want to consider ways of automating data collection. While this would require a heavy initial effort, it could prove useful to replicate or repeat assessments over a given time period.

**Take time initially to set up a clear process for collecting information.** Data gathering can be time-consuming and complex as different non-state and subnational actors follow different methodologies and produce diverse information. Establishing a system, creating clear timelines and providing sufficient lead time to collect and process the data, will facilitate a smoother process.

**Consider any legal or privacy concerns from collecting data or information from third-party providers or directly from non-state and subnational actors.** To build or maintain trust with non-state and subnational actors, it may be useful to prepare a statement of intent outlining how collected data or information might be used to alleviate any potential concerns. Alternatively, confidentiality agreements, memorandum of understanding, or other more formal arrangements may be considered.

**Develop a running list of contact information to gather additional details as needed.** Once an initial set of information is collected, users may need to contact specific national and other actors or networks for further details.

In some cases, users may find that existing sources provide insufficient information and may also wish to collect new data from the target group of non-state and subnational actors. This may extend the time required for the assessment process, but may result in more accurate and up-to-date data. Options on how to address these situations include the following:

- Using national sources for multilevel information exchange (for example the National Environmental Information Exchange Network<sup>2</sup> in the United States or Fossil Free Sweden)
- Conducting extended stakeholder consultations, or surveys, to fill information gaps. For example, users can consult industry associations for non-state action within a given sector. These also offer additional opportunities for engagement with the private sector.
- Conducting literature reviews (national and international)

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<sup>2</sup> For more information, please consult: <http://www.exchangenetwork.net/>

- Reviewing existing programmes by multilateral development organisations, such as the World Bank, UN or multilateral development banks which all work with subnational and non-state actors and can provide valuable data. One example is the World Bank’s recently established City Climate Planner Certificate Programme training which aims to help city practitioners develop the skills to design, plan and implement green growth initiatives in their cities. Each of those future initiatives could feed into the analysis or a database.<sup>3</sup>
- For initiatives, consulting the initiative’s secretariat
- For NAZCA, consulting individual data providers

Some countries may wish to create their own national database for non-state and subnational actions, covering all sectors (Box 5.3). This can be especially relevant for policymakers aiming to carry out comprehensive assessments. In addition, such a database could serve to further motivate non-state and subnational actors to set (more ambitious) climate mitigation goals. It is also helpful for policymakers who aim to identify opportunities for future engagement with those actors. Establishing a database could require significant effort, time and capacity but could be highly valuable if users plan to repeat assessments over time.

*Box 5.3: Example of a national database*

One such example of a national database is “Fossil Free Sweden” (FFS), established by the Swedish government as a national replica of the international movement formalised in the Lima Paris Action Agenda (LPAA). Similarly, rather than a purely data gathering undertaking, it represents an attempt to gather a critical mass of non-state and subnational stakeholders (bottom-up movement) around a common goal and eventually help the government to make more ambitious decisions. It has, however, more relaxed requirements for signing up compared to NAZCA and other major international databases on non-state and subnational action (non-state and subnational actors sign up themselves).<sup>1</sup> Although the initial purpose of the FFS is wider than creating a list of non-state and subnational actions and integrate the impact of those actions in national emissions planning, a database of this kind could help national policymakers find a way around data gaps in existing international databases.

Users may also be able to liaise with UNEP, UNFCCC or individual data providers to get a starting point for their own database and by doing so avoid duplicating effort. However, users should consider that the more loosely defined such a national database is, the less useful it might be as a source for the quantification and integration of mitigation actions into national GHG planning and processes.

If there is insufficient information, users might want to redefine the objectives and/or scope of the analysis (going back to Chapter 4), or, if this is not possible, pay close attention to the impact a lack of information will have on the wider uncertainty considerations of non-state and subnational action.

Lastly, while this guidance focuses on mitigation action, the data collection process might also be an opportunity to collect information around adaptation, resilience, and finance activities as well, if that is a goal of the user, since many data providers are likely to work across mitigation, adaptation and development activities.

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<sup>3</sup> For more information, see: <http://www.worldbank.org/en/topic/climatechange/brief/city-climate-planner-certificate-program>

## 6. SELECTING NON-STATE AND SUBNATIONAL ACTIONS FOR INCLUSION IN THE ANALYSIS

*This chapter provides criteria that will help users decide which of the actions identified in Chapter 5 to include in the assessment, in line with the assessment principles. It provides guidance on how to determine the suitability of each non-state and subnational action based on the availability of information and the likelihood of the action achieving its target(s). The chapter also discusses the distribution of international collaborative actions among countries. In practice, this chapter serves to fill the “Action retained for further analysis” column in Table 5.1 that was illustrated in Chapter 5.*

### Checklist of key recommendations

- Determine suitability of non-state and subnational action for further analysis
- Determine the likelihood that non-state and subnational action targets will be achieved
- Determine whether the collaborative action is already covered by an individual non-state and subnational action before distributing emissions reductions from international collaborative actions to countries

### 6.1 Check against criteria for suitability

Not all actions are equally suitable for inclusion into the users’ analysis. It is therefore a *key recommendation* to evaluate actions against criteria to determine the suitability of non-state and subnational actions for further analysis. Table 6.1 provides criteria to help users determine the suitability of actions. These criteria also include those referenced by the Marrakesh Partnership for Global Climate Action. Users should examine each of the different non-state and subnational actions and commitments in their initial list of relevant non-state and subnational actions to determine if:

- There is quantitative information available about each action to facilitate further assessment
- The action is likely to be achieved
- The action will have impact of relevant magnitude

Actions which do not meet these criteria should be excluded from further assessment. Users should also document which criteria and assumptions were used to assess each non-state and subnational action. This will also help users to easily modify the analysis when information changes over time or when additional data or information becomes available. Box 6.1 provides some examples of suitable or unsuitable non-state and subnational actions.

*Table 6.1: Criteria for determining suitability*

Criteria	Comment/explanation
Availability of quantitative information	Key requirement to quantify non-state and subnational actions and commitments in subsequent steps. Information need not necessarily be GHG- or energy-metric related, but it should be measurable and convertible to energy- or emission-related metrics. Metrics are defined as a standard of measurement.

	<p>Targets should represent specific, clear and quantifiable forward-looking outcomes related to an energy and/or emission impact.</p> <p>Questions to determine whether enough quantitative information is available include:</p> <ul style="list-style-type: none"> <li>• Is a timeframe/target year specified?</li> <li>• Does the action aim for a specific outcome?</li> <li>• Is the target energy or emission related?</li> <li>• Is it a numerical target?</li> <li>• If not, it is still reasonably possible to convert the target into a numerical one?<sup>4</sup> (See also Chapter 8)</li> </ul>
<p>Likelihood of achievement (see Section 6.2 for more detailed guidance)</p>	<p>Another requirement is a high likelihood (very likely, likely) that the non-state or subnational action target will be achieved.</p> <p>Commitments can also be included if there is reasonable confidence that these will materialise into actions.</p> <p>Additional questions that can help determine if/which commitments should be considered, include:</p> <ul style="list-style-type: none"> <li>• Why was the action initiated?</li> <li>• Is there clear ownership behind the commitment?</li> <li>• Who is the actor accountable to?</li> <li>• Are there any plans for the monitoring of targets? For example, NAZCA primarily lists “commitments to action” and one of its listing criteria is that the action will be monitored.</li> <li>• Have some (partial) results already been achieved?</li> <li>• Do non-state and subnational actors have the technical capacity to deliver on their commitments?</li> <li>• Are sufficient funds being allocated to initiate and then implement the activity?</li> <li>• Are there regular political cycles or particular change in administration that could undermine or strengthen a subnational commitment?</li> <li>• Are there indications on the financial health of a company that could undermine its commitment?</li> <li>• Is there regulatory support for the action?</li> </ul>
<p>Magnitude of impact</p>	<p>Actions should achieve a relevant magnitude of GHG impact. Users can approximate potential emissions reductions and label actions as major, moderate, or minor.</p>

<sup>4</sup> To do this for targets, users may refer to the GHGP Mitigation Goal Standard (2014); for policies or actions, users may refer to the Policy and Action Standard (2014).



Box 6.1: Examples of suitable and non-suitable non-state and subnational actions

A subnational action which targets energy efficiency of appliances by increasing energy efficiency up to the level of current best practice can meet the criteria because even if there is no direct quantitative target, the user can deduct quantitative targets (given the availability of studies applying best-practices with regards to energy efficiency of appliances).

A non-state action focusing on information sharing through distribution of awareness material on why certain land use practices are harmful for the climate does not meet the criteria. This action should not be considered by users as it is not impact- or results-oriented and has no quantitative target, unless behavioural studies of that action can be linked to mitigation impacts. This does not mean that such initiatives could not have an important impact on climate change mitigation; they can be significant interventions that enhance enabling environments to facilitate other actions. However, their impact is very difficult to attribute and quantify.

## 6.2 Determine the likelihood of achieving non-state and subnational action targets

In addition to determining the suitability of non-state and subnational action, considering their likelihood to achieve the targeted outcome is also important. It is a *key recommendation* to determine the likelihood that non-state and subnational action targets will be achieved. This assessment should be based on available information and facts, such as literature, prior experience, modelling results, risk management methods, consultation with experts and stakeholders, or other methods. Users may want to look for information about whether the action: (1) is difficult to immediately reverse; (2) builds support over time; and (3) expands the populations they impact (Levin, Cashore, Bernstein, & Auld, 2012) as these may be signs the action is likely to meet its target. If relevant evidence does not exist, users should use their own expert judgment.

Table 6.2 provides guidance on how to determine likelihood and which level of likelihood to consider. The colour coding provides recommendations on whether or not to include the non-state and/or subnational target (*green = include, orange = include under some conditions, red = do not include*). Box 6.2 illustrates how to determine likelihood using examples.

Table 6.2: Assessing the likelihood of non-state and subnational action targets

Likelihood	Description
Likely	Strong reason to believe the non-state or subnational action's target will be achieved. This may be determined based on indications such as: action is already at an advanced stage, funding is available, clear ownership and responsibilities exist (clear ownership with overall responsibility to deliver results, including mobilising the necessary capacity and resources), action is results/impact oriented, (internal) incentives system exists, monitoring system is in place, GHG inventory data has shown progress is underway, non-state/subnational actions are embedded in a public policy or planning instrument, and/or the action has a clear implementation period.
Possible	Some reason to believe the non-state or subnational action's target will be achieved. Cases where the likelihood is unknown or cannot be determined should be considered possible.



	The final decision of whether or not to include a possible non-state or subnational action depends on the level of accuracy and conservativeness (caution) users aim for in their assessment.
Unlikely	<p>Few reasons to believe the non-state or subnational action’s target will be achieved.</p> <p>This may be determined based on indications such as: action is not (yet) underway, overambitious target, unclear ownership or assigned responsibility, and/or there is limited or no funding available. However, over ambition by itself should not be a disqualifying reason.</p>

Source: Adapted from WRI 2014b, based on IPCC 2010.

*Box 6.2: Example of determining likelihood*

Company A has consistently set and achieved 5-year emission reduction targets since 2005. Its most recent reporting indicates it is on-track to achieve its 2020 target and it has committed to setting a science-based target in the near-term. It has an incentive scheme attached to the achievement of its targets, which are agreed upon at board-level. Company A is *very likely* to achieve its target and the reductions should be included in the assessment.

In 2012, City B set its first ever emission reduction target, which is a 75% reduction from a 2010 base year by 2050. There are no interim targets or milestones despite the long period over which the target is to be achieved. It currently has no renewables in its electricity generation portfolio and is home to major cement operations. Over the past 5 years, there has been little planning to ensure the target is met even though the mayor had committed \$5 million in 2012 to make some progress. There has been no coherent strategy to take deep actions in major emitting sectors. Based on the information available, it is *unlikely* that City B will achieve its target.

An additional filter that users may want to use is a function-output-fit (FOF) approach, which measures whether climate actions produce outputs that are consistent with their targets.<sup>5</sup> According to the FOF approach, an impact is likely to occur if non-state or subnational action produces a fitting, attributable output such as product development, technical “on the ground” implementation or infrastructure. Underlying this approach is the assumption that an action’s output is consistent with its intended impacts. For example, an international collaborative initiative action that declares stopping deforestation in supply chain as its objective (function) could be expected to engage with companies and their supply chains (output). If the initiative however only produces knowledge (and nothing else), it may be considered active, but its output would not fit its declared objective and it would be less likely to result in impact. This kind of analysis provides an additional tool to determine likelihood of mitigation impact.

### 6.3 Determine the magnitude of impact

Users should evaluate the potential magnitude of impact of an action. While this will already be known for actions with stated GHG emissions targets, other actions may require more subjective assessment. It is not necessary to accurately calculate GHG effects in this step, but a determination of the relative magnitude should be classified as major, moderate, or minor based on evidence to the extent possible. Evidence may include prior results from existing literature or experience, consultation with experts and

<sup>5</sup> Chan et al. 2016; Chan et al. 2015

stakeholders, or other methods. If evidence does not exist, expert judgment should be used. Table 6.3 provides a description of the classification categories of major, moderate, or minor impact.

Table 6.3: Classifying the potential magnitude of impact

Magnitude	Description
Major	The impact is strongly associated with the effectiveness of the policy or action, and/or the change in GHG emissions or removals is likely to be significant in size.
Moderate	The impact is associated with the effectiveness of the policy or action, and/or the change in GHG emissions or removals could be significant in size.
Minor	The impact is inconsequential to the effectiveness of the policy or action, and/or the change in GHG emissions or removals is insignificant in size.

Source: Adapted from WRI 2014b.

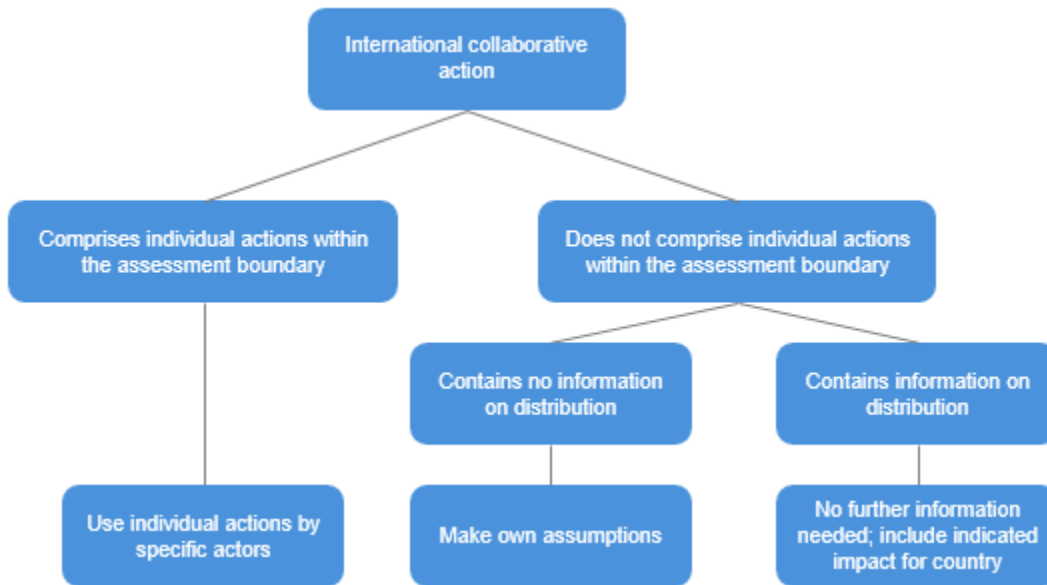
## 6.4 For international collaborative actions, distribute impact to countries

To determine the impact of international collaborative actions from the users' list for the relevant country, users will need to break down the anticipated effect of the collaborative action to the country level. To do so, users have options which are detailed in Figure 6.1. Often the individual action will be more specific than the collaborative target.<sup>6</sup> It may still be valuable to review data sources on international collaborative action in order to help identify specific actions within the assessment boundary. It is a *key recommendation* to determine whether the collaborative action is already covered by an individual non-state and subnational action, before distributing emission reductions resulting from international collaborative actions to countries. This chapter provides a list of assumptions users might use to distribute impacts to countries when no detailed information is provided by the initiative. However, users are advised to exercise caution when using those assumptions as emissions reductions may not be proportional to the number of countries involved and a precise distribution may not be possible. In case of doubt, it is suggested to exclude the international collaborative action until further information becomes available.

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<sup>6</sup> For example, Credit Agricole, a French financial institution, has signed up to the RE100 initiative aiming to procure 100% of electricity from renewable sources. At the same time, its commitment to the collaborative action is also covered under individual actions, as "Supply 100% of total electricity consumption from renewables by 2016 from 46% in 2015."

Figure 6.1: Distribute aggregated impact to countries



If an international collaborative action does not contain specific information clarifying how impacts are distributed to the country level users may want to apply assumptions to estimate distribution. This may be highly subjective and therefore use of assumptions may impact the level of conservativeness of the assessment, but may still be useful depending on the objective. The user will need to decide how important it is that international collaborative action is included in the assessment. All assumptions should be recorded. These actions may in fact be specific means to implement and achieve larger overarching targets for specific actors. For example, a commitment by a city under an international collaborative action to increase the share of bicycle travel may be a means of achieving and overarching emissions reductions target. Assumptions may vary, depending on whether the international collaborative action focuses on non-state or subnational action.

For international collaborative actions that bring together *non-state* actors, assumptions include:

- Number of installations/facilities
- Asset value
- Volume of production or value added
- Relevancy of the (sub)sector compared to the users' national emissions inventory

Assumptions that may be used to distribute the impact of international collaborative actions that bring together multiple *subnational* actors include:

- Equal distribution across countries (e.g., same amount of additional renewable energy)
- Distribution relative to size of country (e.g., via population or GDP)
- Distribution relative to size of indicator within country (e.g., rate of deforestation)

In many cases however, international subnational collaborative initiatives already contain information on the distribution to countries. Users may also want to look at the UN Environment's Cities and Regions Pipeline which brings together information on international collaborative mitigation initiatives by cities and

regions and lists them per country. This pipeline also features information on cities and regions' quantified GHG reduction commitments for 2020, 2025, 2030, etc. up to 2050.<sup>7</sup>

Box 6.3 provides examples on how apply these assumptions in practice.

*Box 6.3: Examples of distributing impact of international collaborative action to country*

An international subnational collaborative action has the objective to install 50 GW of solar PV capacity by 2020 globally and meets the suitability criteria for inclusion outlined in Section 6.1. The action includes 50 cities with a projected total number of inhabitants equal to 100 million by 2020, out of which 10 million inhabitants are projected to be in country A. The potential impact in country A would thus be 5 GW. This is a simplified example that assumes results are equally distributed to all participant countries. This approach has limited accuracy, but may still be useful if the user wants to capture the high end of potential impact. An international cooperative action aims to restore 20 million hectares of degraded land and deforested lands globally by 2020. To distribute the impact among countries, the user could split the potential impact of the initiative by using historical FAO data on afforestation and reforestation. Specifically, the user could calculate the share of afforestation or reforestation rates (in Mha/year) in the global total afforested/ reforested area and use it to split the total target of the initiative (in Mha to be afforested/reforested). For example, looking at an example participating country, China, its afforestation rate was 1.497 Mha/year and 0.29 Mha/year for reforestation.<sup>8</sup> In comparison, the world's afforestation rate was 5.622 Mha/year and its reforestation rate 5.348 Mha/year.<sup>9</sup> The share of global afforestation rate for China is thus 26.6% and for reforestation 5.4%. Applying this to the international cooperative action, the estimated impact for China would be 5.32 million hectares of afforested land and 1.08 million hectares of reforested land by 2020. While this example demonstrates the approach to distribute impact, it includes the assumption that effort may be proportional to the current rates of afforestation and deforestation while the initiative may impact countries' behaviour and shift current rates.

## Companies operating globally

A special case are targets from multinational companies that lack distribution-specific details. Users should keep in mind that most large businesses operate cross-border and many do not specify targets per sector/country which can create difficulties when wanting to determine the specific impact of those actions per country. In this respect, company targets can be similar to international collaborative actions. If no more detailed information (e.g., at facility level), can be obtained directly from companies, or can reasonably be deducted (e.g., a company aims to reduce emissions from a specific product which is only produced/sold in one specific country), users should either exclude these targets at this stage due to a lack of information or be cautious when adding up targets in Chapter 8. Box 6.4 illustrates some further examples.

<sup>7</sup> UNEP DTU Partnership publishes a continually updated pipeline, available at: <http://web.unep.org/climatechange/resources/climate-initiatives-platform>.

<sup>8</sup> FAO 2015.

<sup>9</sup> FAO 2010.

*Box 6.4: Examples of distributing impact of individual multinational company action to country*

Multinational company A has a company-wide target to improve energy efficiency by 40% across its operations. In this case, users could request or collect information on energy use in the particular country they are interested in, given company A has operations in this country and apply the 40% improvement for its operations within the country (assuming equal distribution across all countries).

Multinational company B with operations across the world has committed to decrease its scope 1 emissions in Europe by 30% by 2020 compared to today's emissions. A user interested in conducting the assessment for European country C could determine the total emissions of company B in country C and then assume a 30% reduction of the current emissions of company B by 2020.

## 7. LISTING RELEVANT NATIONAL CLIMATE MITIGATION POLICIES AND ACTIONS

*This chapter explains how to develop a list of relevant national mitigation policies and actions depending on the objectives of the assessment. This information will be used later to determine any overlaps with non-state and subnational action to avoid double counting potential impacts.*

### Checklist of key recommendations

- List all relevant national climate mitigation policies and actions that relate to the objectives of the assessment

### 7.1 List all relevant national climate mitigation policies and actions

Having determined the suitability for each non-state and subnational action and commitment in the country, it is a *key recommendation* to list all relevant national climate mitigation policies and actions that relate to the objectives of the assessment. If the user is pursuing an aggregation exercise to determine the full impact of non-state and subnational action, or the additionality of non-state and subnational action to the national level, users may use this list to inform any overlap calculations between non-state, subnational and national action. However, this step may also be relevant for integration assessments for the development of different national-level scenarios to compare results against, if such scenarios do not already exist. If a user is pursuing an objective that will require integration, users may want to undertake this step before collecting relevant non-state and subnational action as described in Chapters 5 and 6. Users may also want to collect details, assumptions and data associated with those projection models to determine to what extent non-state and subnational action may already be included.

This step may not be necessary if a user wanted to conduct an aggregation assessment or revise a specific sector/subsector target.

For assessment objectives that require the identification and analysis of several national climate mitigation policies and actions, this list should build on the previous assessment steps and reflect the data needs of the assessment. Table 7.1 presents recommendations on what information users should gather at a minimum. Users should list all sectors and/or subsectors targeted by the identified national policies and actions, based on the IPCC main categories, as well as specific targets including reference levels/target years and metrics used. Users should also apply the same suitability criteria used for determining whether non-state and subnational actions should be included in the analysis (Section 6.1).

In addition, comprehensive assessments with an objective to determine the impact of non-state and subnational action on overall emissions projections may require information on the effect of climate mitigation policies and actions on a country's emission pathway, which can also be modelled if no information can be obtained; see Box 7.1. Alternatively, users can consult other ICAT GHG guidance on how to calculate the GHG emission impacts of various policies.

#### *Box 7.1: How to quantify a country's emission pathway under mitigation policies and actions*

For a country with the relative target below a certain reference or baseline, such as 25% below business-as-usual (BAU) levels in 2030 for country A, the first step is to quantify the BAU emissions in 2030. For NDCs, some countries report the estimated BAU emission levels in the submitted (I)NDCs or

other submissions to the UNFCCC (Biennial Reports, Biennial Update Reports and National Communications). If country A reports its BAU emission level in 2030 to be 500 MtCO<sub>2e</sub>, then the target emission level would be  $500 \text{ MtCO}_2\text{e} * (1 - 25\%) = 375 \text{ MtCO}_2\text{e}$ .

When a country does not report its BAU emission levels, the definition of its BAU needs to be looked at to calculate the BAU emission levels. If a BAU scenario assumes a constant GHG emission intensity per GDP, the BAU emission level in 2030 can be calculated as: [BAU GHG emissions in 2030] = [GHG emissions in the base year (as per defined in the NDC document)] \* [GDP growth rate between the base year and 2030].

*The GDP growth projections can be taken from both national sources as well as from international sources such as the International Monetary Fund.*

Table 7.1: Template for information gathering on national climate mitigation policies and actions

Relevant national policies and actions	(Sub)sector(s) targeted	Target (incl. base/target year and metrics used, if available)	Is this an NDC target (included in the NDC)? *	Is the policy NDC specific/ does it contribute to achieving the NDC?*	Impact on national emission projections	Data sources
Example: Reduce emissions from coal power plants	Energy	Reduce GHG emissions from coal power plants by 30% by 2030	yes	yes	n.a.	Environment Ministry

\* If users have chosen assessment objectives that are not directly related to the country's NDC, they do not need to fill this column

To fill the list, users first need to gather information on national climate mitigation policies and actions. Table 7.2 provides an overview of options on how to gather that information. Users should list all data sources used to compile the data.

Table 7.2: Options for gathering information on national climate mitigation policies and targets

Option	Applicable for which assessment objective	Resource requirements and process
Consult existing relevant national registries	All	Some countries might have databases that list climate mitigation policies that could be checked first. The 'Climate Change Laws of the World' database <sup>10</sup> might also be a useful tool, covering climate and climate-related laws in 164 countries and available online. Not resource intensive.

<sup>10</sup> Further information on the 'Climate Change Laws of the World' database is available at: <http://www.lse.ac.uk/GranthamInstitute/climate-change-laws-of-the-world/>.



Look at most recent and relevant national climate reports such as Biennial Reports (BRs)/Biennial Update Reports (BURs), NDCs if applicable <sup>11</sup>	All	<p>Many national climate reports under the UNFCCC such as BRs/BURs, national communications or NAMAs include information on climate policies that could be used.</p> <p>In many cases, a country's NDC might also provide information on GHG emission reduction targets at national and/or sector level.</p> <p>Not resource intensive.</p>
Consult dedicated national body (if applicable)	All comprehensive assessments; Targeted assessment resources permitting	<p>Some countries have an (inter-) ministerial body or similar body with oversight on climate mitigation (and who might also steer the NDC process in the country), which could be approached.</p> <p>Not resource intensive.</p>
Consult relevant line ministries	All relevant ministries for comprehensive assessments; One specific ministry for targeted assessment, resources permitting	<p>For more accurate results, users could consult relevant ministries (depending on exact objective/scope of the assessment) to verify if information contained in BRs or BURs is up-to-date or whether there are any important policies in the pipeline. Official government road maps can also be a relevant source of possible mitigation action, especially in developing countries.</p> <p>Resource intensive.</p>
Literature review and/or consultation with (local) consultancies and research organisations	Possibly for all, depending on resources	<p>Literature reviews can provide some additional information and analysis which might be difficult to obtain by discussing with ministries alone.</p> <p>In addition, more and more organisations collect and provide information on national climate mitigation policies and actions and their effect on national emission pathways. One such example is the Climate Action Tracker which might constitute another valuable source of information.<sup>12</sup></p> <p>Resource intensive.</p>
Other stakeholder consultations (e.g., sector experts, UNFCCC focal points, NAZCA data providers)	Possibly for all, depending on resources	<p>To fill remaining data gaps, users could consult with (sector specific) experts. One challenge here is that they first must be identified.</p> <p>Resource intensive.</p> <p>For less resource intensive options, users could consult the country's UNFCCC focal point.<sup>13</sup></p>

<sup>11</sup> BRs and BURs are submitted by Annex I and non-Annex I countries respectively to the UNFCCC secretariat and contain information about national climate mitigation policies. Submitted BRs and BURs are available at: [http://unfccc.int/national\\_reports/biennial\\_reports\\_and\\_iar/submitted\\_biennial\\_reports/items/7550.php](http://unfccc.int/national_reports/biennial_reports_and_iar/submitted_biennial_reports/items/7550.php) and [http://unfccc.int/national\\_reports/non-annex\\_i\\_natcom/reporting\\_on\\_climate\\_change/items/8722.php](http://unfccc.int/national_reports/non-annex_i_natcom/reporting_on_climate_change/items/8722.php); the interim NDC registry is available at: <http://www4.unfccc.int/ndcregistry/Pages/Home.aspx>

<sup>12</sup> Further information is available at: <http://climateactiontracker.org/>

<sup>13</sup> UNFCCC focal points for each country is available at: [http://unfccc.int/parties\\_observers/parties/national\\_focal\\_points/items/9336.php](http://unfccc.int/parties_observers/parties/national_focal_points/items/9336.php)