

NDC Implementation Readiness Checklist (draft)

The United Nations Development Programme (UNDP) and World Resources Institute (WRI) have identified nine key steps or stages that countries will need to consider as they prepare for implementation of their current and future Nationally Determined Contributions (NDCs). These steps/stages are not necessarily meant to be sequential, and not all steps/stages necessarily pertain to all countries or NDC types. Each section includes a series of questions that are intended to guide national conversations around the topic.

Preparation for NDC Implementation Planning

1. Building NDC Awareness & Support

As countries move toward NDC implementation, they will likely encounter early in the process the need to increase awareness of their NDCs at the national level – both within the government and among other stakeholder groups outside of government. Some countries are also planning media campaigns to raise NDC awareness among the general population. NDC consultations will also be an important initial step in taking stock and building support for NDC implementation decisions, such as institutional arrangements, monitoring methodologies, and how to translate NDC goals into implementable actions.

Guiding questions:

- *Has our (I)NDC been effectively communicated to all key stakeholders (e.g., sectoral ministries, local governments, parliamentarians, business and industry associations, academia, national media, the general public, other stakeholder groups)? If no, how can we increase awareness of our (I)NDC among different stakeholder groups?*
- *Have the implications of the (I)NDC for each of these different stakeholder groups been clearly articulated?*
- *What national or sub-national consultations have already taken place in our country to begin planning for NDC implementation?*
- *Are additional consultations needed for the planning phase? If yes, which consultations are the highest priority and why? What is the timeframe over which we should complete these consultations?*

2. Identifying Institutional Arrangements & Strengthening Institutional Capacities

NDC implementation may employ existing institutional arrangements or may require new coordination mechanisms. This may include identifying a lead institution, clearly identifying roles and responsibilities, improving coordination across ministries, and improving coordination across levels of governance (e.g., national, departmental, local). Countries may also find it necessary to assess the capacities and resources of the institutions assigned to various NDC implementation roles and responsibilities.

Guiding questions:

- *Will an existing institution (e.g., the institution that led the INDC development process) coordinate the NDC implementation process or will a new institution need to be created? What are the benefits and constraints of each option in our national context?*
- *How can roles and responsibilities be allocated across institutions depending on our national circumstances and the sectors covered by our NDC?*
- *What structures can we put in place to improve coordination across ministries (e.g., environment, planning, finance, sectoral line ministries) and levels of government (e.g., national, departmental, local)?*
- *What type of data will be needed to track progress toward our NDC? Do we have mandates in place to ensure that this data is collected efficiently?*
- *Are there sufficient resources (human, technical, financial) allocated to institutional arrangements defined for NDC implementation?*
- *What skills must each institution possess to carry out its role in NDC implementation? How can we strengthen capacities where skills may be lacking?*

3. Technical Preparations for NDC Implementation

In initiating technical preparations for NDC implementation, countries may find it useful to take stock of existing information and analyses (e.g., from submitted (I)NDC, national communications and biennial update reports, national greenhouse gas (GHG) inventories, low-emission development strategies (LEDS), national adaptation plans (NAPs), etc.) and identify information gaps in order to determine next steps in developing an implementation plan. Countries may also wish to identify barriers to creating an NDC implementation plan, secure broad participation during the development of the plan, and develop a strategy for its development.

For mitigation, and as applicable depending on the NDC, technical preparations for NDC implementation may include the development of business-as-usual (BAU) scenarios, calculations of allowable emissions in the target year, and the design of milestones for achieving the target. For economy-wide mitigation targets, countries may need to disaggregate or distribute the target across sectors or geographic regions. This may require the development of sub-national GHG inventories, assessments of sectoral or sub-national mitigation potential, work with sectoral ministries or sub-national governments, and the design of sectoral/sub-national targets. Countries that have included adaptation components in their (I)NDCs may find it necessary to undertake adaptation needs assessments or analyses of safeguards or to develop baselines.

Guiding questions:

- *What barriers or challenges do we envision in the process of developing an NDC implementation plan for our country? How can we overcome these barriers/challenges?*
- *What existing technical information, documents, and analyses can we draw on as we plan for NDC implementation?*
- *What additional information (e.g., BAU scenarios, sectoral targets, sub-national GHG inventories, adaptation needs assessments, etc.) will we need in order to prepare an NDC implementation plan, given our contribution type and existing information?*
- *What is our strategy for incorporating and/or undertaking these processes and studies?*

NDC Implementation Planning & Mobilization of Resources

4. Developing NDC Implementation Plan

Once countries have the required technical information, they will likely begin to identify/prioritize concrete mitigation and adaptation actions and policies (in specific sectors and across sectors) to implement that will allow the country to achieve its NDC goals, if they have not done so already. This process of identifying and prioritizing actions should build on any existing LEDS, NAPs, sectoral plans, prioritization exercises, etc., and may also prioritize measures containing with both mitigation and adaptation benefits. In some cases, it may be necessary to identify the geographic boundaries for specific mitigation and adaptation measures (e.g., national policies, actions in specific municipalities, etc.). As part of this process, countries may also seek to understand the implications of proposed measures (e.g., GHG and non-GHG impacts, benefits and costs, as well as feasibility in terms of regulations, approvals, existing barriers, etc.).

With this information on prioritized actions, countries can begin creating an NDC implementation plan. This may include details on proposed actions and scope; roles and responsibilities for their implementation; timeframes for implementation; costs involved; and strategies for integrating into LEDS, NAPs, climate change laws, etc. During and following the development of the implementation plan, countries should strive to build consensus around the plan in order to increase ownership among relevant government institutions and other stakeholders.

Guiding questions:

- *Does our NDC already identify specific mitigation and adaptation actions that will allow us to achieve our NDC goals? If not, how can we undertake an inclusive process to identify and prioritize specific actions informed by estimated impacts, costs, feasibility, etc.?*
- *What existing plans, strategies, or prioritization exercises can we build on?*
- *What decisions will need to be made in terms of sectors, scope, timeframe, roles and responsibilities, etc. in order to develop the implementation plan? What aspects will require high-level political approval?*
- *What are the implications of the prioritized actions to be implemented? What barriers will need to be addressed to implement them?*
- *How can we consider the global Sustainable Development Goals, our long-term national development vision, gender equality, and other key aspects in the design of our NDC implementation plan?*
- *How can we ensure ownership among relevant stakeholders as we develop our NDC implementation plan?*

5. Mobilizing Resources for NDC Implementation

Closely related to the development of an NDC implementation plan is the need to develop a funding strategy and to mobilize resources for NDC implementation in accordance with the implementation plan. It is helpful to undertake a comprehensive approach when developing this strategy and mobilizing resources. This may include assessing existing climate-related public expenditures in sectors (e.g., energy-efficiency projects, transportation infrastructure, poverty reduction initiatives, reforestation actions, etc.) and determining whether additional public resources can be invested in identified/prioritized measures (especially in the context of unconditional mitigation targets). It will also be important to engage the private sector in the context of NDC implementation, develop bankable projects to attract investment, and explore options to lower, transfer, or compensate for investor risk. Finally, countries may wish to

develop strategies and proposals for attracting international support (especially for conditional mitigation targets).

Guiding questions:

- *Have we quantified what portion of our NDC is unconditional versus conditional upon additional resources (as relevant)?*
- *What components of our NDC implementation plan should be funded by national expenditures? For which components will we need private investment or international support?*
- *What needs to happen at the national level (e.g., congressional or parliamentary approval) to appropriate public resources toward implementation of certain components? What is our country's strategy for attracting private investment or international support?*
- *What information (e.g., costs, information on past and planned public expenditures, information on investment flows, etc.) will we need to inform these decisions?*
- *What tools can we use in this process (e.g., analyses of investment and financial flows, climate public expenditure and institutional reviews, etc.)?*

Implementation of NDCs & Monitoring of Progress

6. Developing Enabling Conditions & Implementing NDC Actions

Once countries have developed an implementation plan and resource mobilization strategy, the next key step will be to develop the enabling conditions for NDC implementation (may also be done before resources are mobilized). This may include passing laws, adopting regulations, or implementing other measures to attract financing as needed. Once these are in place, countries can begin developing and implementing identified/prioritized mitigation and adaptation measures in specific sectors or across sectors (and in specific regions or nationally, as appropriate).

Guiding questions:

- *What enabling conditions will be needed based on our country's list of prioritized actions and identified barriers to implementation?*

7. Monitoring Progress of NDC Implementation

Countries may need to create or strengthen systems for collecting data and tracking progress toward NDC implementation. These should build on existing systems to the extent possible (e.g., those developed for national GHG inventories, national communications, LEDS, NAPs, nationally appropriate mitigation actions (NAMAs), Clean Development Mechanism projects, adaptation projects, etc.). Mandates for data collection should also be created as needed.

Countries will also need to develop a monitoring plan to track the implementation of NDC-related mitigation and adaptation actions and their impacts. For mitigation, this may require regular updating of national GHG inventories, assessments of policy implementation and impacts, and updates to BAU scenarios to understand whether additional reductions are necessary to achieve NDC goals. Countries will also need to collect and analyze data and transparently report on progress both domestically and internationally.

Guiding questions:

- *What existing systems can we build on to monitor NDC progress? In what ways will these systems need to be strengthened?*

- *To what extent are policy implementation and policy impacts already being tracked? Do methodologies exist for tracking implementation or impacts?*
- *What additional data will be needed? What mandates for data collection will be needed?*
- *What is our strategy for developing a monitoring plan that will allow us to transparently demonstrate progress toward NDC goals and report domestically and internationally?*
- *What updates (e.g., to national inventories, BAU scenarios, etc.) will be needed in order to implement our proposed monitoring plan?*

Revising & Updating NDCs

8. Amending NDC Implementation Plan to Meet Goals

As countries implement and monitor progress toward NDCs, they may find it necessary to amend their implementation plan based on observed impacts of implemented measures. This may entail changing the scope or impact of mitigation and adaptation actions and/or policies in order to enhance their contributions toward NDC goals. In some cases, the development of new actions or policies may be needed in order to reach NDC goals.

Guiding questions:

- *Based on our monitoring of the impacts of NDC-related actions, are we on track to meet our NDC goals for the target year?*
- *If not, are there opportunities for increasing the scope of planned actions to increase impacts?*
- *What additional measures can be implemented to close the gap? How can we efficiently incorporate these into our NDC implementation plan and funding strategy?*
- *How can we adjust existing policies and actions so they more effectively deliver emissions reductions?*

Future NDC Cycles

9. Planning for Future NDCs

As countries plan for and implement NDCs, they should keep in mind the future NDC cycles envisioned by the Paris Agreement (every 5 years, with increasing ambition), including the invitation to Parties to update or communicate a new NDC in 2020. Doing so may require countries to institutionalize planning for future cycles into government processes. It will also be critical to systematically assess additional mitigation and/or adaptation options. For mitigation, this can be guided in part by long-term mitigation strategies (e.g., mid-century, long-term LEDS due in 2020, as invited by the Paris Agreement) to guide future NDC cycles. For adaptation, long-term adaptation planning and updating of NAPs can guide countries' adaptation efforts.

Guiding questions:

- *Do we have a mid-century, long-term LEDS? If no, how can we use the development of this strategy to serve as a framework for future NDCs? To what extent can existing LEDS, NAPs, etc. inform this process?*
- *Beyond the institutional arrangements identified in Section 2, will additional institutional processes or mechanisms need to be put in place in our country to set the stage for future NDC cycles?*
- *Is there dedicated staff in the government responsible for assessing mitigation and adaptation options?*