



# CLIMATE SCANNER

Rapid Review Tool Framework

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| Support



United Nations

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INTOSAI



INTOSAI Working Group on Environmental Auditing

FEDERAL COURT OF ACCOUNTS TCU

# ClimateScanner Rapid Review Tool

## How to read this document

This document provides a standardized methodology that Supreme Audit Institutions (SAIs) can use to conduct rapid reviews of the actions their national governments have in place to address climate change. This tool is structured into four sections, including a country profile (a descriptive section with general information about the country's context) and three assessment axes: (1) climate governance, (2) public policies related to climate, and (3) climate finance. It also includes a summary section with key results. Each axis is divided into various components that SAIs will assess in their respective countries, allowing SAIs to conduct standardized assessments and data consolidation.

The **Governance Axis** covers institutional aspects related both to mitigation of greenhouse gas emissions and adaptation to climate change, whereas the **Public Policies Axis** addresses mitigation and adaptation aspects in a more specific and detailed way. In addition, for the purposes of this work, “climate finance” refers to local, national, or transnational financing—drawn from public, private, and alternative sources of financing—that seeks to support mitigation and adaptation actions that will address climate change, as defined by the UN Framework Convention on Climate Change. Based on this definition, both domestic and international financing are included under the **Finance Axis**.

The methodological structure presented in this document will be reflected in the **ClimateScanner Web Platform**, an interactive online tool where SAIs will enter the information, and which will also enable data processing and analysis to facilitate the communication of results for external users.

DESCRIPTIVE SECTION	
COUNTRY PROFILE	
Overview	
Climate profile	Country UNFCCC classification
	Emission targets
	Greenhouse gas (GHG) emissions
	Key climate vulnerable areas
	Documents
	Main climate laws or regulations
	Main public organizations
Sources	

## RESULTS SUMMARY

Challenges
Strengths
Key conclusions

## ASSESSMENT

Categories	Components
<b>GOVERNANCE AXIS</b>	
Institutionalization	G1. Legal and regulatory framework
	G2. Government structure
Strategy	G3. Long-term strategy
	G4. Risk management
Coordination	G5. Horizontal and vertical coordination
	G6. Stakeholder engagement
Accountability	G7. Inclusiveness
	G8. Monitoring mechanisms
	G9. Transparency
	G10. Oversight and climate litigation
<b>PUBLIC POLICIES</b>	
International commitments	P1. Nationally Determined Contribution (NDC)
General strategies	P2. Mitigation strategy
	P3. National adaptation plans and strategies
Sectoral components	P4. Mitigation sectors
	P5. Adaptation sectors
<b>FINANCE AXIS</b>	
Public Climate Finance	F1. Domestic climate finance
	F2. International climate finance – provider countries
	F3. International climate finance – recipient countries
Private Climate Finance	F4. Domestic and international private climate finance mechanisms

The components are assessed on two to four items. Each item will be assessed on a four-tier scale, according to the level of implementation of the aspects included in that item, as follows: “no implementation”, “early implementation”, “intermediate implementation,” and “advanced implementation”. The score for each component will be the average score of the items included in that component.

For each item, SAIs can mark them as “not applicable” or “unassessed”. The “not applicable” option will be used when the assessment of that item does not make sense according to the circumstances or characteristics of that country. SAIs are encouraged to evaluate all items and components but may eventually use the “unassessed” option for certain items for which the SAI does not have the mandate to do that particular assessment or when the SAI is not able to collect the information needed for doing the assessment.

Each of the components is presented in a table, which describes the component, identifies the items to be considered under that component’s scale of implementation, the evidence that can be used to support the assessment, and possible sources of information.

<i>Category</i>			
GX. NAME OF THE COMPONENT			
Description of component	Item A	Item B	Item C
<p>This section describes which dimension of national climate action is being assessed. Each component comprises two to four items which represent relevant steps for the implementation of the component.</p> <p><b>References:</b> International agreements, academic and grey literature that demonstrate the relevance of the topic and serve as basis for the design of the component.</p>	<p><b>Item designation</b> Description of the item</p>	<p><b>Item designation</b> Description of the item</p>	<p><b>Item designation</b> Description of the item</p>
	<p><b>Evidence:</b> Available facts, data and information that the auditor can use as support for the assessment.</p>	<p><b>Evidence:</b> Available facts, data and information that the auditor can use as support for the assessment.</p>	<p><b>Evidence:</b> Available facts, data and information that the auditor can use as support for the assessment.</p>
	<p><b>Sources of information:</b> This section lists possible sources of information auditors can review in order to collect evidence needed for assessing the items of the component and obtain evidence that supports the assessment.</p>		

## Country profile

The Country Profile contains basic data about the country, economic and social information, and key information about the country’s climate profile. The purpose of this descriptive section is to provide context for the interpretation of the results of the assessment conducted by SAIs using the ClimateScanner tool.

In the ClimateScanner Web Platform, this section will be presented for each country in a specific Country Profile tab.

For items marked as “imported database” in the “Responsibility for inputting the data” column, the Coordinating Team will be responsible for obtaining such databases and importing them into the Web Platform. For items marked as “SAI”, SAIs are expected to provide the data. However, if some data are not available, SAIs can leave the field blank but should continue to use the tool and conduct the assessment.

Information	Detail	Format	Possible sources	Responsibility for inputting the data	Comments
<b>OVERVIEW</b>					
<b>Country’s name</b>					
<b>Area</b>		km <sup>2</sup>	National statistic offices	SAI	Only continental
<b>Population</b>	<b>Total</b>	Number	National statistic offices	SAI	
	<b>Year</b>	YYYY	National statistic offices	SAI	
	<b>2024 (official projection)</b>	YYYY	National statistic offices	SAI	
<b>Human Development Index (HDI)</b>	<b>Value</b>	Number	<a href="#">UNDP</a>	Imported database	
	<b>Year</b>	YYYY			
<b>Gross Domestic Product (GDP) – current US\$</b>	<b>Total</b>	US\$	<a href="#">The World Bank</a>	Imported database	
	<b>Per capita</b>	US\$			
	<b>Year</b>	YYYY			
<b>Gini coefficient</b>	<b>Value</b>	Number	<a href="#">The World Bank</a>	Imported database	
	<b>Year</b>	YYYY			
<b>CLIMATE PROFILE</b>					
<b>Country UNFCCC classification</b>	<input type="checkbox"/> Annex I <input type="checkbox"/> Annex II <input type="checkbox"/> Non-Annex I	Restricted values	<a href="#">UNFCCC</a>	Imported database	
<b>Emission targets for 2030</b>		Open text	NDC	SAI	SAIs should select the broader emissions targets in the NDC (e.g., percentage of reduction compared to a certain year or number of Tons CO <sub>2</sub> eq)
<b>Emission targets for 2050</b>		Open text	NDC	SAI	SAIs should select the broader emissions targets (e.g., percentage of reduction compared to a certain year or number of Tons CO <sub>2</sub> eq)
<b>Net GHG emissions</b>	<b>Total</b>	Tons CO <sub>2</sub> eq	<a href="#">UNFCCC</a> (preferably)	SAI	Data will be displayed as a line chart with labels
	<b>Per capita</b>	Tons CO <sub>2</sub> eq			
	<b>Time series (emissions per year)</b>	Tons CO <sub>2</sub> eq			

Information	Detail	Format	Possible sources	Responsibility for inputting the data	Comments
			The source used should be mentioned expressly		
GHG emissions per sector	Agriculture	Tons CO <sub>2</sub> eq	<a href="#">UNFCCC</a>	SAI	Data will be displayed as a pie chart with labels
	Energy	Tons CO <sub>2</sub> eq			
	Land-use change and forestry	Tons CO <sub>2</sub> eq	(If official data is not available, use database like <a href="#">climatewatchdata.org</a> )		
	Waste	Tons CO <sub>2</sub> eq	The source used should be mentioned expressly		
	Industrial processes	Tons CO <sub>2</sub> eq			
Others	Tons CO <sub>2</sub> eq				
Key climate vulnerable areas		Open text	National Adaptation Plans, National Communications, NDCs, Governmental official documents	SAI	Example of possible areas: energy systems, food security, human health, planned relocation and resettlement, urban and infrastructure systems
Documents	Nationally determined contribution (NDC)	File or hyperlink	<a href="#">UNFCCC</a>	SAI	SAIs can upload other updated official government documents they find relevant, such as: <ul style="list-style-type: none"> <li>▫ National communication</li> <li>▫ Greenhouse gas inventory</li> <li>▫ Long-term Strategy (LTS)</li> <li>▫ National mitigation plans</li> <li>▫ Biennial report</li> <li>▫ National adaptation plans</li> <li>▫ Others</li> </ul>
	Year	YYYY			
	Other documents	File or hyperlink	<a href="#">UNFCCC</a>		
	Type of document	Restricted values			
	Year	YYYY	Government websites		
Main climate laws or regulations		File or hyperlink	Government websites	SAI	SAIs will be able to include more than one document if their national climate legislation is spread across more than one law or regulation.
Main public organizations		File or hyperlink	Government websites	SAI	SAIs should mention the leading government organization(s) for climate. They can include both line ministries and collective bodies such as multistakeholder committees and councils.
<b>SOURCES</b>					
Imported databases	Sources	Open text	Various	Manual input from DB manager	Disclaimer about data that have been imported directly from public databases.
	Date	MM/DD/YYYY	Automatic from system	-	System will register the date of input.
Inputs from SAIs	Disclaimer	Default text	-	Coordinating team	Disclaimer about SAI's responsibility over the data they have included in the platform.
	Sources	Open text	Various	SAI	For each input, SAIs must inform the source.
	Date	MM/DD/YYYY	Automatic from system	-	System will register the date of input.

## Results summary

The ClimateScanner Web Platform will present a Results Summary tab for each country. The purpose of this section is to provide a general overview of the results of the national-level assessment at the most aggregated level possible, making it easy for readers to identify the country's main strengths and challenges related to government climate action. This section will highlight the components that have received the highest and lowest scores based on the SAIs' assessments in their respective countries. SAIs can also complement their assessment with general comments they consider relevant for the reader to better understand the assessment and the score of particular items.

<b>RESULTS SUMMARY</b>			
<i>Information</i>	<i>Format</i>	<i>Responsibility for data</i>	<i>Comments</i>
<b>Strengths</b>	ClimateScanner Web Platform will automatically identify and list all national components with scores above a certain level, that will be previously defined	Automatic from system	
<b>Challenges</b>	ClimateScanner Web Platform will automatically identify and list all national components scores below a certain level, that will be previously defined	Automatic from system	
<b>Key conclusions</b>	Prepared by SAIs	Prepared by SAIs	This field offers SAIs the opportunity to present general comments on the assessments they have conducted. It is not a mandatory field.

# Governance Axis

Institutionalization			
G1. LEGAL AND REGULATORY FRAMEWORK			
Description of component	Item A	Item B	Item C
<p>This component assesses the existence of a legal and regulatory framework for climate change in the country, its consistency with the Paris Agreement, and whether it enables integration of climate change considerations into national planning instruments, including sectoral plans.</p> <p>In addition to laws and regulations, the legal and regulatory framework can include other official government documents and instruments.</p> <p><b>References:</b></p> <ul style="list-style-type: none"> <li>D UNFCCC (Preamble, paragraph 10)</li> <li>D Climate Change Institutional Assessment (World Bank) (element 1.1)</li> <li>D World Bank Reference Guide to Climate Change Framework Legislation (World Bank Group)</li> <li>D Guidelines for Assessing Governance of the Government Center (TCU) (page 35, E.1)</li> </ul>	<p><b>Existence of legislation framework</b></p> <p>There is a climate change legal and regulatory framework. It may include an overarching law and/or a legal and regulatory framework addressing general aspects of climate change.</p>	<p><b>Consistency with Paris Agreement</b></p> <p>Climate laws, regulations, and other official government documents and instruments are consistent with the Paris Agreement.</p>	<p><b>Mainstreaming</b></p> <p>Climate laws, regulations, and other official government documents and instruments provide for mainstreaming climate change aspects into national planning instruments and sectoral plans.</p>
	<p><b>Evidence:</b></p> <p>The laws, regulations and other official government documents and instruments related to climate change.</p>	<p><b>Evidence:</b></p> <p>The laws, regulations and other official government documents and instruments related to climate change are consistent with the commitments set out in the Paris Agreement or provide an overarching legal and regulatory framework under which the Nationally Determined Contributions (NDC) can be achieved.</p>	<p><b>Evidence:</b></p> <p>The laws, regulations and other official government documents and instruments related to climate change require the incorporation of climate change aspects into planning instruments or budgetary tools; or provide an overarching legal and regulatory arrangement that enables the integration of climate change aspects into national planning instruments and sectoral plans.</p>
	<p><b>Sources of information:</b></p> <ul style="list-style-type: none"> <li>D Documents submitted by Parties to the UNFCCC, including National communications and Biennial reports (available at <a href="https://unfccc.int">unfccc.int</a>) (need to check how updated is the information in these reports)</li> <li>D NDCs submitted by countries (available at <a href="https://unfccc.int/NDCREG">https://unfccc.int/NDCREG</a>)</li> <li>D National legislation and national plans that address climate change</li> <li>D Database “Climate Change Laws of the World” covering national-level climate change legislation and policies from around the world (<a href="https://climate-laws.org/">https://climate-laws.org/</a>)</li> <li>D Governments’ official information</li> </ul>		

G2. GOVERNMENT STRUCTURE

Description of component	Item A	Item B	Item C	Item D
<p>This component assesses whether there is a national government structure to address climate change with well-defined responsibilities related to leadership, coordination, implementation, monitoring, and transparency. This structure might include ministries, departments, boards, committees, etc. It does not refer to specific policies, but to climate change in a general way.</p> <p>Item D highlights the relevance of the existence of a leading body with authority within government to fulfill this role.</p> <p><b>References:</b></p> <ul style="list-style-type: none"> <li>D UNFCCC (Article 4, I, b)</li> <li>D Climate Change Institutional Assessment (World Bank) (elements 1.1, 1.2, 1.3, 4.1)</li> <li>D World Bank Reference Guide to Climate Change Framework Legislation (World Bank) (Element 7)</li> <li>D Principles of Effective Governance for Sustainable Development (UN) (Principles 1, 2, and 3)</li> <li>D Framework on Sound Public Governance (OECD) (Executive Summary; Chapter “Enablers of Sound Public Governance – pages 48-52)</li> <li>D The Role of the Center of Government (IDB) (pages 4/5, 10/20)</li> </ul>	<p><b>Existence of national government structure</b></p> <p>There is a national government structure to address climate change issues.</p> <p><b>Evidence:</b> Law, regulation, or other official document that establishes the structure.</p>	<p><b>Responsibilities defined</b></p> <p>Responsibilities for leading, coordinating, implementing, monitoring, and giving transparency to national responses to climate change are clearly defined across public organizations at the national level.</p> <p><b>Evidence:</b> Law, regulation, or other official document that defines the responsibilities for leading, coordinating, implementing, monitoring, and giving transparency to national responses to climate change.</p>	<p><b>No gaps or overlaps</b></p> <p>In the structure of responsibilities for leading, coordinating, implementing, monitoring, and giving transparency to national responses to climate change, such responsibilities are well defined, with no gaps or overlaps.</p> <p><b>Evidence:</b> Assessment of law, regulation, or other official document that define the responsibilities for leading, coordinating, implementing, monitoring, and giving transparency to national responses to climate change, showing they have no gaps (such as missing activities) or overlaps (activities assigned to more than one agency).</p>	<p><b>Leadership</b></p> <p>There is a government body at the national level with responsibilities for leading, steering and coordinating national responses to climate change, and with authority to mobilize other government bodies.</p> <p><b>Evidence:</b> Law, regulation, or other official document that establishes the leading body and its responsibilities.</p> <p>Institutional position occupied by the leading body within the government structure.</p>
<p><b>Sources of information:</b></p> <ul style="list-style-type: none"> <li>D National communications and Biennial reports (available at <a href="http://unfccc.int">unfccc.int</a>) (need to check how updated is the information in these reports)</li> <li>D National legislation and national plans that establish government structures on climate change</li> <li>D Governments’ official information</li> </ul>				

Strategy

G3. LONG-TERM STRATEGY

Description of component	Item A	Item B	Item C
<p>This component assesses if the country has a long-term strategy for climate change and whether it is aligned with the Nationally Determined Contributions (NDC); and if the planning instruments consider the interlinkages between the Sustainable Development Goals (SDGs) and climate change.</p> <p>The long-term strategy can be the document required by the Paris Agreement (art. 4 (19)), usually called LTS, or other official government document with the same purpose.</p> <p><b>References:</b></p> <ul style="list-style-type: none"> <li>D UNFCCC - Article 4.1-b, 4.1-e, 4.1-f, 4.2-a</li> <li>D UN SDG 13, targets 13.2 and 13.b</li> <li>D Paris Agreement articles 4(19), 7(9), 7(10), 7(11)</li> <li>D Open Government and Climate Change (World Bank) (pages 5/7)</li> <li>D Climate Change Institutional Assessment (World Bank) (elements 1.1, 2.1, 2.2, 2.4)</li> <li>D World Bank Reference Guide to Climate Change Framework Legislation – World Bank (elements 1, 2, 4)</li> <li>D Third Global Conference on Strengthening Synergies between the Paris Agreement on Climate Change and the 2030 Agenda for Sustainable Development – Conference Summary (UN) (item 11)</li> </ul>	<p><b>Long-term strategy</b> The country submitted their climate-related long-term strategy (LTS) to the UNFCCC, as mentioned by the Paris Agreement (art. 4 (19)), or there is an official government documents that establishes a national long-term strategy to address climate change.</p>	<p><b>Alignment to NDC</b> The long-term strategy is aligned with the current NDC.</p>	<p><b>Interlinkages with SDGs</b> The long-term strategy considers the interlinkages between SDG 13 – Climate Action and the other SDGs.</p>
	<p><b>Evidence:</b> Registry of the LTS at the UNFCCC or an official national long-term strategy presented by the government in a document.</p>	<p><b>Evidence:</b> Assessment of NDC and the long-term strategy, showing they are compatible and have no major contradictions.</p>	<p><b>Evidence:</b> Assessment of the long-term strategy showing it considers the integration of climate change actions with the achievement of SDGs (aside from SDG 13).</p>
	<p><b>Sources of information:</b></p> <ul style="list-style-type: none"> <li>D National communications and Biennial reports (available at <a href="https://unfccc.int">unfccc.int</a>) (need to check how updated is the information in these reports)</li> <li>D Long-term strategies submitted by countries (available in <a href="https://unfccc.int/process/the-paris-agreement/long-term-strategies">https://unfccc.int/process/the-paris-agreement/long-term-strategies</a>)</li> <li>D NDCs submitted by countries (available at <a href="https://unfccc.int/NDCREG">https://unfccc.int/NDCREG</a>)</li> <li>D National planning instruments</li> <li>D National or international reports produced by recognized organizations that assess countries’ NDCs and LTS</li> <li>D Governments’ official information</li> </ul>		

G4. RISK MANAGEMENT

Description of component	Item A	Item B	Item C
<p>This component assesses whether the country maps the risks and vulnerabilities associated with the impacts of climate change, based on scientific information, and incorporates them in the main national planning instruments.</p> <p><b>References:</b></p> <ul style="list-style-type: none"> <li>D UN SDG 13, and all its targets</li> <li>D Paris Agreement articles 7.7.a, 7.7.c, 7.9, 8.4.e</li> <li>D Open Government and Climate Change (World Bank) (pages 7/8)</li> <li>D Climate Change Institutional Assessment (World Bank) (elements 1.1, 2.1, 2.3, 4.1, 4.2)</li> <li>D World Bank Reference Guide to Climate Change Framework Legislation (World Bank) (element 3)</li> <li>D CEPA strategy guidance note on Risk Management Framework (UNDESA) (pages 1/9)</li> </ul>	<p><b>Risk mapping</b> There is a mapping of climate change risks, produced or updated in the last five years.</p>	<p><b>Interface with science</b> The government largely bases the identification of risks on scientific evidence.</p>	<p><b>Climate risks in planning instruments</b> National long- and medium-term planning instruments that address climate change incorporate climate risks.</p>
	<p><b>Evidence:</b> A report or system that shows the existence of an updated risk mapping produced, issued, or acknowledged and utilized by the government.</p>	<p><b>Evidence:</b> Documents, minutes, reports and/or official correspondence demonstrating the participation of scientific institutions in the process of mapping climate risks. Governmental reports about climate risks properly based on sound scientific evidence.</p>	<p><b>Evidence:</b> Documents related to broad planning instruments expressly mention climate risks.</p>
	<p><b>Sources of information:</b></p> <ul style="list-style-type: none"> <li>D National communications and Biennial reports (available at <a href="http://unfccc.int">unfccc.int</a>) (need to check how updated is the information in these reports)</li> <li>D National reports about climate risks or including climate risks</li> <li>D National planning instruments</li> <li>D Research, reports or other documents about climate risks from non-governmental stakeholders</li> <li>D Official information from government agencies and bodies responsible for climate policies</li> <li>D Governments' official information</li> <li>D <a href="https://climateknowledgeportal.worldbank.org/country-profiles">https://climateknowledgeportal.worldbank.org/country-profiles</a></li> </ul>		

Coordination

G5. HORIZONTAL AND VERTICAL COORDINATION

Description of component	Item A	Item B	Item C	Item D
<p>This component assesses intragovernmental and intergovernmental coordination reflected in the existence of structured mechanisms that allow horizontal and vertical coordination across different sectors and levels of government on climate change. Such mechanisms might include dedicated bodies (e.g., committees or councils), systems, processes, and protocols for the communication of common goals, exchange of information and joint decision making, among other things.</p> <p>For the purposes of this work:</p> <p>Horizontal coordination means coordination within the government’s national level, across different sectors.</p> <p>Vertical coordination means coordination across different levels of government. In federal states, it means coordination between the national government and states, provinces or similar structures (or even municipalities when they have the status of autonomous entities). In unitary states, it means coordination between national and local governments.</p> <p><b>References:</b></p> <ul style="list-style-type: none"> <li>D Climate Change Institutional Assessment (World Bank) (elements 1.1, 1.3, 4.1)</li> <li>D World Bank Reference Guide to Climate Change Framework Legislation (World Bank) (elements 7, 9)</li> <li>D Principles of Effective Governance for Sustainable Development (UN) (Principle 2)</li> <li>D The Role of the Center of Government (IDB) (pages 16/20)</li> <li>D World Public Sector Report 2018 (UN) Chapter 2 – Horizontal integration (pages 16-19) and Chapter 3 – Vertical integration (pages 36-41)</li> <li>D Strengthening the Center of Government in Latin America and the Caribbean (IDB) (pages 1, 4, 5/6)</li> </ul>	<p><b>Horizontal coordination mechanisms</b></p> <p>There are institutional mechanisms (e.g., commissions, councils, committees, systems, processes, protocols, etc.) to enable horizontal coordination among national government bodies on climate change.</p> <p><b>Evidence:</b></p> <p>Law, regulation, or other official document establishing such a mechanism.</p>	<p><b>Dynamic of horizontal interaction</b></p> <p>Commissions, councils, and committees for horizontal coordination have a working dynamic that allows regular interaction of members.</p> <p><b>Evidence:</b></p> <p>Documents (e.g., meeting minutes, reports), resources allocated, definition of focal points, etc, showing that such institutional mechanisms have a working dynamic that allows frequent interaction of members.</p>	<p><b>Vertical coordination mechanisms</b></p> <p>There are institutional mechanisms (e.g., commissions, councils, committees, systems, mechanisms for joint policy formulation and implementation across levels of government, etc.) that enable vertical coordination.</p> <p><b>Evidence:</b></p> <p>Law, regulation, or other official document establishing such a mechanism.</p>	<p><b>Dynamic of vertical interaction</b></p> <p>Commissions, councils, and committees for vertical coordination have a working dynamic that allows regular interaction of members.</p> <p><b>Evidence:</b></p> <p>Documents (e.g., meeting minutes, reports), resources allocated, definition of focal points, etc, showing that such institutional mechanisms have a working dynamic that allows frequent interaction of members.</p>
<p><b>Sources of information:</b></p> <ul style="list-style-type: none"> <li>D National communications and Biennial reports (available at <a href="http://unfccc.int">unfccc.int</a>) (need to check how updated is the information in these reports)</li> <li>D National legislation and national plans that address mechanisms for coordination</li> <li>D Reports, minutes of meetings or any other document that shows the dynamic of interaction of different stakeholders at the national level</li> <li>D Governments’ official information</li> </ul>				

G6. STAKEHOLDER ENGAGEMENT

Description of component	Item A	Item B	Item C
<p>This component assesses the existence of structured mechanisms for engagement of non-governmental stakeholders (e.g., civil society, private sector, academia) in the design and implementation of climate strategies, policies, and plans.</p> <p><b>References:</b></p> <ul style="list-style-type: none"> <li>▫ UNFCCC (Article 4.1.j)</li> <li>▫ Paris Agreement (Article 7.5)</li> <li>▫ Open Government and Climate Change (World Bank) (pages 11/15)</li> <li>▫ Climate Change Institutional Assessment (World Bank) (elements 1.1, 5.2)</li> <li>▫ World Bank Reference Guide to Climate Change Framework Legislation (World Bank) (element 8)</li> <li>▫ What is a Good Practice – A framework to analyse the Quality of Stakeholder Engagement in implementation and follow-up of the 2030 Agenda (UNDESA/UNDP) (pages 1-13)</li> </ul>	<p><b>Existence of participation mechanisms</b></p> <p>There are institutional mechanisms in place to allow the participation of stakeholders in the design and implementation of climate strategies, plans, and policies, in a consistent way.</p>	<p><b>Representativeness</b></p> <p>The institutional mechanisms observe the representation of the following sectors: civil society, private sector, and academia.</p>	<p><b>Dynamic of interaction</b></p> <p>The institutional mechanisms are implemented in a way that allows regular interaction between government and other stakeholders.</p>
	<p><b>Evidence:</b></p> <p>Official document (e.g., law, norm, etc.) establishing such institutional mechanisms.</p>	<p><b>Evidence:</b></p> <p>Official document (e.g., a law or regulation) that shows that civil society, private sector, and academia are represented in the institutional mechanisms.</p>	<p><b>Evidence:</b></p> <p>Documents (e.g., meeting minutes or reports) showing that there is regular interaction between members by means of institutional mechanisms.</p>
	<p><b>Sources of information:</b></p> <ul style="list-style-type: none"> <li>▫ National communications and Biennial reports (available at <a href="http://unfccc.int">unfccc.int</a>) (need to check how updated is the information in these reports)</li> <li>▫ National legislation, policies and plans related to climate change issues</li> <li>▫ Reports, minutes of meetings or any other document that shows the dynamic of interaction of different stakeholders at the national level</li> <li>▫ Specific key climate policy documents</li> <li>▫ Governments’ official information</li> </ul>		

Accountability

G7. INCLUSIVENESS

Description of component	Item A	Item B	Item C
<p>This component assesses adherence to the “leave no one behind” principle from the 2030 Agenda by examining whether the government has identified groups that are most vulnerable to the impacts of climate change, includes them in the decision-making process, and incorporates an equitable perspective in climate strategies, policies, and plans.</p> <p><b>References:</b></p> <ul style="list-style-type: none"> <li>▷ Paris Agreement (Articles 11.1, 12)</li> <li>▷ Rio Declaration 1992 – Principle 10 (signed by 178 governments)</li> <li>▷ Aarhus Convention 1998 (ratified by 46 countries and The European Union)</li> <li>▷ Open Government and Climate Change (World Bank) (pages 2, 3, 8, 11/16)</li> <li>▷ Principles of Effective Governance for Sustainable Development (UN) (Principles 2, 7, 8, 9)</li> <li>▷ IPCC Sixth Assessment Report – Summary for Policymakers (IPCC) (Section D)</li> </ul>	<p><b>Identification of vulnerable groups</b> The government has identified groups that are most vulnerable to the impacts of climate change and their needs in terms of public policies.</p>	<p><b>Inclusion in decision-making process</b> There are mechanisms in place for including affected communities and vulnerable populations as part of the decision-making process in the design and implementation of climate strategies, policies, and plans.</p>	<p><b>Equitable policies</b> Climate strategies, policies and plans focus on identified vulnerable groups and incorporate an equitable perspective, i.e., establishing measures/provisions for reducing harms and ensuring equitable benefits from climate solutions.</p>
	<p><b>Evidence:</b> Documents (e.g., strategies, plans, and/or reports) that show that the government has identified the groups that are most vulnerable to the impacts of climate change and their needs in terms of public policies.</p>	<p><b>Evidence:</b> Official document (e.g., law or regulation) that shows that vulnerable groups participate in the decision-making process of climate strategies, policies, and plans.  Minutes or reports of meetings showing the participation of vulnerable groups in the decision-making process.</p>	<p><b>Evidence:</b> Official document (e.g., law, regulation, strategies, policies, or plans) that expressly includes provisions on reducing harms and ensuring equitable benefits to vulnerable groups.</p>
	<p><b>Sources of information:</b></p> <ul style="list-style-type: none"> <li>▷ National communications and Biennial reports (available at <a href="https://unfccc.int">unfccc.int</a>) (need to check how updated is the information in these reports)</li> <li>▷ National legislation, policies and plans related to climate change issues</li> <li>▷ Reports and documents about strategies of raising awareness about climate change, citizen’s and vulnerable groups engagement with climate action</li> <li>▷ Environmental Democracy Index (public participation in natural resources decisions) <a href="https://www.environmentaldemocracyindex.org/node/2728.html">https://www.environmentaldemocracyindex.org/node/2728.html</a></li> <li>▷ Governments’ official information</li> </ul>		

**G8. MONITORING MECHANISMS**

Description of component	Item A	Item B
<p>This component assesses the existence of government mechanisms for monitoring the implementation of the Nationally Determined Contribution (NDC) and the national climate overarching law. It also assesses whether there are feedback mechanisms to inform policymaking.</p> <p><b>References:</b></p> <ul style="list-style-type: none"> <li>▫ Open Government and Climate Change (World Bank) (pages 9/10)</li> <li>▫ Climate Change Institutional Assessment (World Bank) (elements 1.1, 2.5)</li> <li>▫ Reference to Climate Change Framework Legislation (World Bank) (Element 11)</li> <li>▫ The Role of the Center of Government (IDB) (pages 21/26)</li> <li>▫ World Public Sector Report 2021 (UN), Chapter 2 (pages 41/57) and annex 1</li> </ul>	<p><b>Existence of mechanisms</b> There are monitoring mechanisms in place for tracking progress towards the NDC and the national climate overarching law.</p>	<p><b>Feedback for policymaking</b> There are feedback mechanisms to use the information from monitoring to improve climate change policymaking.</p>
	<p><b>Evidence:</b> Official reports, systems, follow-up routines, monitoring commissions, legal and regulatory instruments, etc.</p> <p>Monitoring mechanisms could include, for example: relevant indicators, specific and measurable targets, and sources of data that are monitored regularly.</p>	<p><b>Evidence</b> Existence of processes to use the results and information of climate change monitoring to feed back into policymaking.</p>
	<p><b>Sources of information:</b></p> <ul style="list-style-type: none"> <li>▫ National communications and Biennial reports (available at <a href="http://unfccc.int">unfccc.int</a>) (need to check how updated is the information in these reports)</li> <li>▫ Systems, reports, documents and administrative procedures about monitoring and use of information to support decision-making</li> <li>▫ Governments' official information</li> </ul>	

Accountability

G9. TRANSPARENCY

Description of component	Item A	Item B	Item C
<p>This component assesses the existence of mechanisms to ensure transparency of the actions carried out, resources spent, and results achieved in relation to climate change mitigation and adaptation.</p> <p><b>References:</b></p> <ul style="list-style-type: none"> <li>▫ UNFCCC - Article 4.1.a, 4.2.b, 12.1, 12.2</li> <li>▫ Paris Agreement (Articles 4.2, 4.8, 7.10, 7.11, 7.12, 7.14, 9.5, 9.7, 12 and 13)</li> <li>▫ Open Government and Climate Change (World Bank) (pages 5/10)</li> <li>▫ Climate Change Institutional Assessment (World Bank) (element 5.1)</li> <li>▫ Principles of Effective Governance for Sustainable Development (UN) (Principle 5)</li> <li>▫ World Public Sector Report 2019 (UN), Chapter 1 (pages 15/19)</li> </ul>	<p><b>Global transparency</b></p> <p>There are updated transparency mechanisms aligned with the global governance framework under the Convention (UNFCCC) and the Paris Agreement: National Communications, and Biennial Reports / Biennial Update Reports / Biennial Transparency Reports.</p>	<p><b>Transparency at the National Level</b></p> <p>There are transparency mechanisms that provide updated information on progress towards the achievement of national objectives related to climate change.</p>	<p><b>Publicly accessible reporting</b></p> <p>The transparency mechanisms that provide information on national actions related to climate change are accessible in formats and language that enable follow-up by society.</p>
	<p><b>Evidence:</b></p> <p>Updated National Communications, Biennial Reports, Biennial Update Reports and Biennial Transparency Reports.</p>	<p><b>Evidence:</b></p> <p>Systems, reports, websites, or other tool that provide updated information about the progress to achieve the national climate commitments.</p>	<p><b>Evidence:</b></p> <p>Systems, reports, websites, or other tool that provide information for society about national climate action in accessible formats and language.</p>
	<p><b>Sources of information:</b></p> <ul style="list-style-type: none"> <li>▫ National Communications that include National Inventories according to Decision 17/CP.8 (available at <a href="http://unfccc.int">unfccc.int</a>) (need to check how updated is the information in these reports)</li> <li>▫ Reports, systems with information about national climate action and the progress to achieve national climate commitments</li> <li>▫ Governments' official information</li> </ul>		

## G10. OVERSIGHT AND CLIMATE LITIGATION

Description of component	Item A	Item B	Item C
<p>This component assesses whether there are institutional mechanisms outside the executive branch that can enhance the implementation of climate actions.</p> <p><b>References:</b></p> <ul style="list-style-type: none"> <li>D Open Government and Climate Change (World Bank) (pages 17/19)</li> <li>D Climate Change Institutional Assessment (World Bank) (elements 5.4, 5.5 and 5.6)</li> <li>D World Bank Reference Guide to Climate Change Framework Legislation (World Bank) (Element 12)</li> <li>D Principles of Effective Governance for Sustainable Development (UN) (Principle 6)</li> <li>D World Public Sector Report 2021 (UN), Chapter 2 (pages 62/67)</li> <li>D A/RES/69/228 (UN General Assembly) (paragraphs 2, 6, 8)</li> <li>D Global Climate Litigation Report: 2023 Status Overview (UNEP) (Part 2, I, page 11-13)</li> </ul>	<p><b>Parliament</b> Parliament has active bodies (e.g., commissions or committees) that focus on climate change issues.</p> <p><b>Evidence:</b> Structure of parliament that shows the existence of such body. Documents or reports that show the body regularly develops activities on climate issues.</p>	<p><b>Audit institutions</b> SAI conducted (or is currently conducting) at least one audit in the last five years that has climate change issues as its main focus.</p> <p><b>Evidence:</b> Reports from audits conducted in the last five years or any document that shows there is an audit in progress with a focus on has climate change issues.</p>	<p><b>Climate litigation</b> The judiciary or other quasi-judicial bodies are prepared to adjudicate claims related to issues regarding climate change.</p> <p><b>Evidence:</b> National or international reports that consolidate information about climate judicial or quasi-judicial bodies;  Direct search in databases from judicial or quasi-judicial bodies;  Studies that report the possibility of cases of climate litigation being heard by the Judiciary or other quasi-judicial bodies of the country.</p>
<p><b>Sources of information:</b></p> <ul style="list-style-type: none"> <li>D Regulations on parliamentary structure</li> <li>D Reports on parliament's activities regarding climate change</li> <li>D SAI's strategy</li> <li>D SAI's reports from audits and/or other oversight activities</li> <li>D National Court's database</li> <li>D National reports about climate judicial cases</li> <li>D International databases about climate litigation (such as <a href="http://climatecasechart.com/">http://climatecasechart.com/</a>)</li> <li>D International reports on climate litigation (such as <a href="https://www.unep.org/resources/report/global-climate-litigation-report-2023-status-review">https://www.unep.org/resources/report/global-climate-litigation-report-2023-status-review</a>)</li> <li>D Governments' official information</li> </ul>			

*International commitments*

**P1. NATIONALLY DETERMINED CONTRIBUTION (NDC)**

Description of component	Item A	Item B	Item C
<p>This component assesses whether the NDC states ambitious and updated commitments for the country, according to requirements of the Paris Agreement, and whether the commitments are broken down into sectoral targets.</p> <p><b>References:</b></p> <ul style="list-style-type: none"> <li>D Paris Agreement (Articles 4, and 6)</li> <li>D The State of Nationally Determined Contributions: 2022 (World Resources Institute) (Chapters 2, 3, 4, and 6)</li> <li>D WWF releases checklist to assess #NDCsWeWant (WWF)</li> </ul>	<p><b>Actualization</b> The NDC is up to date, according to art. 4, §9 of the Paris Agreement.</p>	<p><b>Ambition</b> The current NDC is clearly more ambitious than the previous NDC, according to art. 4, §3 of the Paris Agreement.</p>	<p><b>Targets per sector</b> NDC commitments are broken down into sectoral targets (in the NDC itself or in any other national plans, programs, or regulations).</p>
	<p><b>Evidence:</b> The country has already established its second NDC, updating the first NDC.</p>	<p><b>Evidence:</b> Assessment of the ambition of the current NDC compared to the previous NDC, leaving no room for weakening the contribution.</p>	<p><b>Evidence:</b> The NDC or other national document (e.g., a norm, a policy, or a plan) establishes targets per sector showing how each sector will contribute to the overall commitment. The assessment of this item may focus on the sectors selected for assessment under the P4 and P5 components.</p>
	<p><b>Sources of information:</b></p> <ul style="list-style-type: none"> <li>D NDCs submitted by countries (available at <a href="https://unfccc.int/NDCREG">https://unfccc.int/NDCREG</a>)</li> <li>D National or International platforms, documents, reports or articles that presents information about countries' NDCs and assess them (such as <a href="https://climateactiontracker.org/">https://climateactiontracker.org/</a>; <a href="https://www.climatewatchdata.org/">https://www.climatewatchdata.org/</a>)</li> <li>D National legislation, policies or plans that establish mitigation or adaptation targets per sector</li> <li>D Governments' official information</li> <li>D NDC Transparency Check – Assessing Information to Facilitate Clarity, Transparency and Understanding of Nationally Determined Contributions (Climate Transparency)</li> <li>D A New World Is Coming - #NDCsWeWant</li> </ul>		

General strategies

P2. MITIGATION STRATEGY

Description of component	Item A	Item B	Item C
<p>This component evaluates the approach adopted by countries in mitigating greenhouse gas (GHG) emissions.</p> <p>It considers if the national government has mapped the relevant policies for GHG emissions, the existence of strategies for mitigation, the establishment of plans to achieve sectoral targets, and the consistency of these plans with national strategies.</p> <p><b>References:</b></p> <ul style="list-style-type: none"> <li>D Paris Agreement (Article 4)</li> <li>D Climate Change Institutional Assessment (World Bank) (pages 2, 3)</li> <li>D CEPA strategy guidance note on Promotion of coherent policymaking (UNDESA) (entire document, especially section “mapping SDG interactions”, pages 10-11)</li> <li>D Policy Framework on Sound Public Governance (OECD) (Chapter 3)</li> <li>D Principles of Effective Governance for Sustainable Development (UNDESA) (principles 2 and 3)</li> <li>D The Role of the Center of Government (IDB) (Chapter 3)</li> </ul>	<p><b>Mapping</b></p> <p>National government has mapped the policies that impact national GHG emissions.</p>	<p><b>National strategy</b></p> <p>The country has clearly defined goals and strategies for reducing GHG emissions and identified key policies and activities to achieve the goals and implement the strategies.</p>	<p><b>Sectoral plans</b></p> <p>There are specific plans for achieving sectoral emission targets which are consistent with the national strategies.</p>
	<p><b>Evidence:</b></p> <p>Documents, databases and policy catalogues listing policies that impact national GHG emissions.</p>	<p><b>Evidence:</b></p> <p>National strategies that establish the general framework of government action to fulfill the mitigation commitment set in the NDC.</p>	<p><b>Evidence:</b></p> <p>Sectoral plans or other programs that detail the actions to be carried out to accomplish the sectoral mitigation targets and are aligned with the national strategies.</p>
<p><b>Sources of information:</b></p> <ul style="list-style-type: none"> <li>D Documents submitted by Parties to the UNFCCC, including National communications and Biennial reports (available at <a href="http://unfccc.int">unfccc.int</a>) (need to check how updated is the information in these reports)</li> <li>D Official governmental documents and databases about policies related to the emissions of GHG emissions</li> <li>D National strategies for the fulfillment of countries’ mitigation commitments</li> <li>D Sectoral plans</li> <li>D Documents, studies and reports mapping interactions between public policies (focused on or including those related to mitigation) based on SDG interactions</li> <li>D Governments’ official information</li> </ul>			

P3. NATIONAL ADAPTATION PLANS AND STRATEGIES

Description of component	Item A	Item B	Item C
<p>This component evaluates the approach adopted by countries in adapting to climate change and reducing adverse impacts on socioeconomic sectors and the well-being of the population.</p> <p>It considers if the country has official national adaptation plans or strategies, the coverage of these plans/strategies, and if they are updated.</p> <p><b>References:</b></p> <ul style="list-style-type: none"> <li>D Paris Agreement (Article 7)</li> <li>D Climate Change Institutional Assessment (pages 3, 4, 5, and 6)</li> <li>D CEPA strategy guidance note on Risk Management Framework (UNDESA)</li> <li>D Sendai Framework for Disaster Risk Reduction 2015-2030 (UN) (page 13 – Guiding principles)</li> <li>D OECD Knowledge Platform on Policy Coherence for Sustainable Development</li> <li>D Strengthening Climate Resilience - Guidance for Governments &amp; Development Co-operation (OECD) (Chapter 2, sections 2.2 and 2.3, and Chapter 3)</li> </ul>	<p><b>Existence of national adaptation plan</b> The country submitted their national adaptation plans to the UNFCCC, according to art. 7, § 9 of the Paris Agreement, or there is an official national adaptation plan or strategy.</p>	<p><b>Coverage</b> The government has determined the most relevant adaptation sectors in the country and the national adaptation plans/strategies cover the most relevant adaptation sectors of the country.</p>	<p><b>Up-to-date plans and strategies</b> The national adaptation plans or strategies were developed or updated in the last five years.</p>
	<p><b>Evidence:</b> Registry of the national adaptation plans at the UNFCCC or an official national adaptation plan or strategy presented by the government in a document.</p>	<p><b>Evidence:</b> The content of the plans/strategies show they include the main sectors for adapting the country to the effects of climate change.</p>	<p><b>Evidence:</b> The content of the plans or strategies shows that they have been developed or updated in the last five years.</p>
<p><b>Sources of information:</b></p> <ul style="list-style-type: none"> <li>D National communications and Biennial reports (available at <a href="http://unfccc.int">unfccc.int</a>) (need to check how updated is the information in these reports)</li> <li>D National Adaptation Plans presented to the UNFCCC (<a href="https://unfccc.int/topics/adaptation-and-resilience/workstreams/national-adaptation-plans">https://unfccc.int/topics/adaptation-and-resilience/workstreams/national-adaptation-plans</a>)</li> <li>D Platforms, reports that presents information about countries’ adaptation strategies (such as: <a href="https://climate-adapt.eea.europa.eu/">https://climate-adapt.eea.europa.eu/</a>)</li> <li>D Reports, minutes of meetings or others documents that shows the level of participation in the process for developing the national adaptation plans</li> <li>D Governments’ official information</li> </ul>			

*Sectoral components*  
**P4. MITIGATION SECTORS**

Description of component	Item A	Item B	Item C	Item D
<p>This component assesses aspects related to the policies for mitigation in the sectors considered most relevant for the country.</p> <p>Auditors should select the main mitigation sectors which are responsible together for at least 40% of total greenhouse gas emissions. If there is a sector that emits more than 40% of total emissions, auditor can select just this sector.</p> <p>They must select the sectors from the ones listed below:</p> <ul style="list-style-type: none"> <li>○ Agriculture,</li> <li>○ Energy,</li> <li>○ Land-Use Change and Forestry,</li> <li>○ Waste, and</li> <li>○ Industrial Processes.</li> </ul> <p>(Sector classification is based on IPCC criteria.)</p> <p>If auditors wish, they can assess a narrower scope within each sector. This is recommended when auditors wish to assess only a sub-set of policies related to a sector, or if the country uses a distinct classification for emissions. The ClimateScanner Web Application offers auditors the option to add a subtitle to each of the sectors above indicating the chosen scope. In this case, the subtitle should be associated to the sector that bears the most resemblance to the classification used by the country. For example, if the country has the transport sector as very representative in terms of emissions, auditors can mark the "energy" option for the evaluation, and then add "transport" as a subtitle.</p> <p>Each selected sector will be assessed in a separated component according to the same scale.</p> <p><b>References:</b></p> <ul style="list-style-type: none"> <li>D Paris Agreement (Article 4)</li> <li>D Climate Change Institutional Assessment (World Bank) (pages 2, 3, and 4)</li> <li>D Revised 1996 IPCC Guidelines for National Greenhouse Gas Inventories - Summary of the revisions (IPCC)</li> <li>D Principles of Effective Governance for Sustainable Development (UNDESA) (principle 2)</li> <li>D Framework on Sound Public Governance (OECD) (Chapters 3 and 5)</li> </ul>	<p><b>Climate policy design</b> The design of national policies related to the selected mitigation sector consider the reduction of emissions in that sector.</p>	<p><b>Specific actions</b> National policies, programs, and plans are detailed into specific actions to achieve the general mitigation objectives for the selected sector.</p>	<p><b>Implementation challenges</b> The national government has mapped challenges to the implementation of policies and achievement of goals for the selected sector.</p>	<p><b>Monitoring and evaluation mechanisms</b> The national government has established monitoring and evaluation mechanisms for assessing the outcomes of the plans or programs to achieve the mitigation objectives for the selected sector and supporting the review and decision-making process.</p>
	<p><b>Evidence:</b> Regulation, plans, or other documents that establish the main public policies addressing issues for the chosen mitigation sector.</p>	<p><b>Evidence:</b> Regulations, plans, or other documents that describe the specific actions.</p>	<p><b>Evidence:</b> Documents that expressly mention the challenges identified to the implementation of policies and achievement of goals on the selected sector.</p>	<p><b>Evidence:</b> Regulation, plans, or other documents that establish monitoring and evaluation mechanisms, including targets and indicators.</p>
<p><b>Sources of information:</b></p> <ul style="list-style-type: none"> <li>D Documents submitted by Parties to the UNFCCC, including National communications and Biennial reports (available at <a href="http://unfccc.int">unfccc.int</a>) (need to check how updated is the information in these reports)</li> <li>D Regulations and other official documents about the policies related to the chosen sector</li> <li>D Official documents about specific mitigation actions to the chosen sector</li> <li>D Official documents that establish monitoring and evaluation mechanisms for the chosen sector, including targets and indicators. Governments' official information</li> </ul>				

Sectoral components

P5. ADAPTATION SECTORS

Description of component	Item A	Item B	Item C	Item D
<p>This component assesses various aspects related to the policies for adaptation in the sectors considered most relevant for the country.</p> <p>Auditors should select at least the two most relevant sectors defined by the SAls or by the national government as top priorities for climate change adaptation.</p> <p>They must select the sectors from the ones listed below:</p> <ul style="list-style-type: none"> <li>D Land and ocean ecosystems,</li> <li>D Agriculture and food security,</li> <li>D Urban development and infrastructure,</li> <li>D Energy,</li> <li>D Human health,</li> <li>D Living standards and equity, D</li> <li>Peace and human mobility, D</li> <li>Disaster risk management, D</li> <li>Water management, and</li> <li>D Other cross-cutting risks.</li> </ul> <p>(Sector classification is adapted from IPCC criteria.)</p> <p>If auditors wish, they can assess a narrower scope within each sector. This is recommended when auditors wish to assess only a sub-set of policies related to a sector, or if the country uses a distinct classification for adaptation. The ClimateScanner Web Application offers auditors the option to add a subtitle to each of the sectors above indicating the chosen scope. In this context, the subtitle should be associated with the sector that most closely aligns with the classification adopted by the country. For instance, if the Buildings sector is highly indicative of the country's needs for adaptation, the country may select the "Urban development and infrastructure" category for evaluation, and then designate "Buildings" as a subtitle.</p> <p>It should be emphasized that the inclusion of a subtitle is optional for any of the marked sectors, except for "Other cross-cutting risks". In this case, the inclusion of a subtitle is mandatory, as the specific risk should be identified. Some examples of cross-cutting risks that</p>	<p><b>Climate policy design</b></p> <p>The national government has put in place public policies to address the main issues related to adaptation in the selected sector, and these policies consider the country's climate goals in their design.</p> <p><b>Evidence:</b> Regulation, plans, and other documents that establish the main public policies addressing issues for the chosen adaptation sector.</p>	<p><b>Specific actions</b></p> <p>National policies, programs, and plans are detailed into specific actions in order to achieve the general adaptation objectives for the selected adaptation sector.</p> <p><b>Evidence:</b> Regulations, plans, and other documents that contemplates the specific actions.</p>	<p><b>Implementation challenges</b></p> <p>The national government has mapped challenges to the implementation of policies and achievement of goals for the selected sector.</p> <p><b>Evidence:</b> Documents that expressly mention the challenges identified to the implementation of policies and achievement of goals on the selected sector.</p>	<p><b>Monitoring and evaluation mechanisms</b></p> <p>The national government has established monitoring and evaluation mechanisms for assessing the outcomes of the policies to achieve the adaptation objectives for the selected sector and supporting the review and the decision-making process.</p> <p><b>Evidence:</b> Regulations, plans, and other documents that establish monitoring and evaluation mechanisms including targets and indicators.</p>
	<p><b>Sources of information:</b></p> <ul style="list-style-type: none"> <li>D Documents submitted by Parties to the UNFCCC, including National communications and Biennial reports (available at <a href="http://unfccc.int">unfccc.int</a>) (need to check how updated is the information in these reports)</li> <li>D Regulations, plans and other official documents about the policies related to the chosen sector</li> <li>D Official documents about specific adaptation actions to the chosen sector</li> <li>D Official documents that establish monitoring and evaluation mechanisms for the chosen sector, including targets and indicators.</li> <li>D Governments' official information</li> </ul>			

can be included are as follows: Climate services, including Early Warning Systems; Social safety nets; Risk spreading and sharing.

Each chosen sector will be evaluated as a separate component, all according to the same scale.

**References:**

- D Paris Agreement (Article 7)
- D Climate change 2022: impacts, adaptation and vulnerability - Summary for Policymakers (IPCC) (Executive Summary, page 22)
- D Climate Change Institutional Assessment (pages 3, 4, 5, and 6)
- D Strengthening Climate Resilience - Guidance for Governments & Development Co-operation (OECD) (Chapter 3)
- D Sendai Framework for Disaster Risk Reduction 2015-2030 (UN) (page 13 – Guiding principles)
- D Principles of Effective Governance for Sustainable Development (UNDESA) (principle 2)

# Finance Axis

Public Climate Finance				
F1. DOMESTIC CLIMATE FINANCE				
Description of component	Item A	Item B	Item C	Item D
<p>This component assesses whether the national government has plans related to domestic climate goals, if it committed or sourced funds for achieving these goals, and if it has mechanisms for tracking and reporting funds.</p> <p><b>References:</b></p> <ul style="list-style-type: none"> <li>▫ Principles of Budgetary Governance (principles 1, 2, 3, 7, 8, 9) (OECD)</li> <li>▫ Green Budgeting: Towards Common Principles (OECD) (sections 3.1, 3.2, 4.1, 4.4.3)</li> <li>▫ Budgeting for Climate Change: A Guidance Note for Governments to Integrate Climate Change into Budgeting (UNDP) (section 1.3, and chapters 2 and 3)</li> </ul>	<p><b>Planning and budgeting</b> The national government has budgets that are aligned with their domestic climate goals and plans or strategies.</p>	<p><b>Direct finance tracking</b> a) The national government has a definition of direct climate finance or similar (i.e., what counts as direct public climate finance); and b) The national government tracks its direct climate finance.</p>	<p><b>Indirect finance tracking</b> a) The national government has a definition of indirect climate finance or similar (i.e., what counts as indirect public climate finance); and b) The national government tracks its indirect climate finance.</p>	<p><b>Reporting</b> a) The national government has mechanisms to publicly report on domestic climate finance; and b) The national government has issued reports on domestic climate finance expenditures.</p>
	<p><b>Evidence:</b> The national government's plans and budgets for domestic climate finance that include mitigation and/or adaptation.</p>	<p><b>Evidence:</b> a) The national government's definition of what counts as direct climate finance; and b) The national government's systems that track and account for different types of direct public climate finance, such as:</p> <ul style="list-style-type: none"> <li>▫ Adaptation / climate resilience / disaster risk reduction,</li> <li>▫ Greenhouse gas emissions reductions,</li> <li>▫ Climate science,</li> <li>▫ Climate services to national government programs, sub-national government entities, and private sector (e.g., climate information and education),</li> <li>▫ Green fiscal tools (e.g., green investment funds, green bonds, tax incentives, and carbon pricing), and</li> <li>▫ Tax incentives / green fiscal tools.</li> </ul>	<p><b>Evidence:</b> a) The national government's definition of what counts as indirect climate finance; and b) The national government's systems that track indirect public climate finance, such as:</p> <ul style="list-style-type: none"> <li>▫ Domestic "indirect" finance for managing climate change risks in existing institutions and programs (e.g., agriculture) designed for other purposes.</li> </ul>	<p><b>Evidence:</b> a) The national government's mechanisms to report progress toward its domestic climate finance goals; and b) The national government's reports on domestic climate finance.</p>
<p><b>Sources of information:</b></p> <ul style="list-style-type: none"> <li>▫ National budgets, policies and strategies</li> <li>▫ National adaptation plans</li> <li>▫ National emissions reduction plans and carbon budgets</li> <li>▫ Agency and program budgets</li> <li>▫ Reporting and accountability mechanisms such as green spending reviews, impact assessments, and reports on progress and outcomes</li> <li>▫ Governments' official information</li> </ul>				

F2. INTERNATIONAL CLIMATE FINANCE

Provider Countries

Description of component	Item A	Item B	Item C
<p>This component assesses how the national government of a provider country has managed international climate finance commitments, including (1) direct finance, (2) technology transfer, and (3) capacity building.</p> <p><b>References:</b></p> <ul style="list-style-type: none"> <li>D UN SDG 13, target 13a</li> <li>D UNFCCC, articles 4 and 11</li> <li>D Paris Agreement (articles 2.1.c, 4.5, 7.6, 7.7, 9, 10, 11)</li> <li>D Decision 18.CMA.1, section V</li> <li>D Auditing Climate Finance: Research and Audit Criteria for Supreme Audit Institutions (INTOSAI WGFA) (pages 11-13, 18, 26-28, 29)</li> </ul>	<p><b>Commitments set</b>                      Provider country national government has developed international climate finance commitments that are “new and additional.”</p>	<p><b>Resources allocated and disbursed</b></p> <p>a) Provider country has a budget or other mechanisms (such as technology transfer and capacity building) in place to allocate international climate finance; and</p> <p>b) Provider country has demonstrated progress toward fulfilling commitments.</p>	<p><b>Reporting</b></p> <p>a) The national government has mechanisms to publicly report on international climate finance; and</p> <p>b) The national government has issued reports on expenditures related to international climate finance.</p>
	<p><b>Evidence:</b>                      The national government’s international climate finance commitments, for example as mentioned in the Nationally Determined Contributions (NDCs), National Communications and Biennial Reports.</p>	<p><b>Evidence:</b>                      The national government’s budget or other mechanisms to allocate international climate finance.</p> <p>Reports on national budget decision-making.</p> <p>Reports on progress about commitments related to international climate finance.</p>	<p><b>Evidence:</b>                      The national government’s mechanisms to publicly report international climate finance; and</p> <p>National government’s reports on expenditures related to international climate finance.</p>
	<p><b>Sources of information:</b></p> <ul style="list-style-type: none"> <li>D National budget documents</li> <li>D Agency and program budgets</li> <li>D National Communications presented to the UNFCCC</li> <li>D Biennial Reports presented to the UNFCCC</li> <li>D Nationally Determined Contributions (NDCs)</li> <li>D Governments’ official information</li> </ul>		

## F3. INTERNATIONAL CLIMATE FINANCE

## Recipient Countries

Description of component	Item A	Item B	Item C	Item D
<p>This component assesses how the national government of a recipient country has been able to identify financial needs, to mobilize international funding for climate mitigation or adaptation projects, to implement mechanisms to evaluate the use of these funds and if they are fulfilling the reporting requirements for the financial support received and needed.</p> <p><b>References:</b></p> <ul style="list-style-type: none"> <li>D UNFCCC, articles 4 and 11</li> <li>D Paris Agreement, articles 9.3, 11.2, 13, 14</li> <li>D Decision 18.CMA.1, section VI</li> <li>D Decision 5/CMA.4 (page 25, paragraphs 8-10)</li> <li>D Reference Manual for the Enhanced Transparency Framework under the Paris Agreement (pages 26, 33, 37, 46)</li> <li>D Toolkit to Enhance Access to Climate Finance: A Commonwealth Practical Guide (Commonwealth secretariat, 2022) (entire document, key messages summarized in the Executive Summary section)</li> <li>D Auditing Climate Finance: Research and Audit Criteria for Supreme Audit Institutions (INTOSAI WGEA) (pages 11-13, 19, 26-28, 29)</li> </ul>	<p><b>Needs assessment</b></p> <p>The national government has identified needs for international climate finance.</p> <p><b>Evidence:</b></p> <p>Documents and regulations that show that the national government has mechanisms in place to assess needs for climate finance that include for example, identification of funding needed to implement mitigation and adaptation programs and policies. Reports that show the needs identified.</p> <p><b>Sources of information:</b></p> <ul style="list-style-type: none"> <li>D National Determined Contributions</li> <li>D National Adaptation Plans</li> <li>D Biannual Update Reports (BUR) or the new Biannual Transparency Reports (BTR)</li> <li>D National communications (NC)</li> <li>D National inventory reports</li> <li>D International consultation and analysis</li> <li>D National climate budgeting systems</li> <li>D National mechanisms aiming to “Compile and assess detailed information on the potential finance sources available, relevant climate funds and modalities for climate funds”</li> <li>D National tools to manage climate finance (e.g., national climate funds)</li> <li>D National performance indicators</li> <li>D National monitoring system</li> <li>D Climate expenditure tracking systems</li> <li>D MRV systems for support received and needed</li> <li>D Governments’ official information</li> </ul>	<p><b>Sources identified and mobilized</b></p> <p>The national government has the capacity to identify and to mobilize climate finance sources.</p> <p>National government has been able to mobilize these climate finance sources.</p> <p><b>Evidence:</b></p> <p>Documents and regulations that show that the national government has capacity and mechanisms in place to identify and initiate or mobilize financing.</p> <p>Reports on climate finance mobilized that show that such mechanisms are operational.</p>	<p><b>Disbursement overseen</b></p> <p>The national government has the capacity and mechanisms to oversee disbursement of climate finance.</p> <p><b>Evidence:</b></p> <p>The national government’s mechanisms for the oversight of international climate finance disbursement (e.g., climate expenditure tracking systems and monitoring, reporting, and verification (MRV) systems for support received and needed).</p>	<p><b>Reporting</b></p> <p>The national government has fulfilled the reporting requirements for the financial support received and needed.</p> <p><b>Evidence:</b></p> <p>The national government’s mechanisms to publicly report international climate finance.</p> <p>Reports on the financial support received.</p>

Private Climate Finance

F4. DOMESTIC AND INTERNATIONAL PRIVATE CLIMATE FINANCE MECHANISMS

Description of component	Item A	Item B	Item C
<p>This component assesses if the national government has instruments to mobilize private finance to support mitigation and adaptation activities and its capacity to track and report on these funds.</p> <p><b>References:</b></p> <ul style="list-style-type: none"> <li>Ⓓ UNFCCC, preamble, article 4.1.f</li> <li>Ⓓ Paris Agreement, articles 6.4.b, 6.8.b, 9.3</li> <li>Ⓓ Private Finance for Climate Action: Estimating the effects of public interventions (OECD) (pages 3-7)</li> </ul>	<p><b>Mobilization mechanisms</b></p> <p>The national government has mechanisms or incentives for mobilizing private climate finance.</p>	<p><b>Private finance tracking</b></p> <p>The national government tracks private climate finance mechanisms.</p>	<p><b>Reporting</b></p> <p>The national government reports on and shares information on private climate finance.</p>
	<p><b>Evidence:</b></p> <p>The national government’s mechanisms to mobilize private climate finance, such as through:</p> <ul style="list-style-type: none"> <li>Ⓓ Grants, including for capacity building,</li> <li>Ⓓ Loans and loan guarantees,</li> <li>Ⓓ Credit lines, and</li> <li>Ⓓ Subsidies.</li> </ul>	<p><b>Evidence:</b></p> <p>The national government’s systems that track and account for private climate change finance.</p>	<p><b>Evidence:</b></p> <p>The national government’s mechanisms to publicly report private climate finance and its achievements.</p> <p>Reports published on private climate finance.</p>
	<p><b>Sources of information:</b></p> <ul style="list-style-type: none"> <li>Ⓓ National policies and strategies including provisions for private finance mobilization</li> <li>Ⓓ Government regulations, directives, and guidelines for private finance mobilization</li> <li>Ⓓ Projects and public calls for incentivization of climate-related activities with provisions for public co-financing (grants, loans, investments, and guarantees)</li> <li>Ⓓ Portfolios from official development financial institutions</li> <li>Ⓓ Laws and regulation about subsidies</li> <li>Ⓓ Methodologies for tracking climate spending</li> <li>Ⓓ National government’s reporting on climate-related spending</li> <li>Ⓓ National government’s performance reporting</li> <li>Ⓓ Vibrant Data Labs Climate Policy Initiative</li> <li>Ⓓ Climate Finance Tracker</li> <li>Ⓓ Governments’ official information</li> </ul>		

