

MEMORANDUM

From: C40 Cities Climate Leadership Group¹
Subject: Updates to the C40 Climate Action Planning Framework
Date: 30/03/2020



This memorandum describes the changes introduced into the C40 Climate Action Planning Framework.

The C40 CAP Framework was launched in 2018 with the aim of defining what a Paris-compatible climate action plan should look like. It contains a set of 30 essential criteria which aim to guide cities as they develop CAPs. These criteria also form the basis of the CAP review process used by C40.

Drawing on the learnings from the deployment of the CAP Framework through the CAP Programme and its pilot, a cross-team C40 working group has undertaken a review to ensure that the Framework continues to fulfil its role as a key resource for guiding CAP development and the basis for all C40 CAP reviews.

The working group findings highlighted the strength of the current CAP Framework overall but there was a need to introduce more flexibility based on the achievability and relevance of some of the criteria in different contexts. The findings also emphasised the need to better communicate some of the requirements.

As a result, changes have been made for 14 (of the 30) essential criteria. Please see **Annex I** for details of specific revisions and the rationale for each change.

The changes to some of the essential criteria aim to simplify the language and introduce some areas of flexibility into the framework. The revisions take account of the diversity of cities and their capacity to comply with the current framework.

These changes are also reflected in an updated CAP Framework document (PDF) as well as the online version on the C40 Climate Action Planning Resource Centre <https://resourcecentre.c40.org/climate-action-planning-framework-home>.

¹ Please contact planning@c40.org for any questions.

PILLAR 1 Criteria	Essential criteria (March 2020)	Previous version (if different)	Rationale for change
1.1.1 Long-term vision and political commitment	A written (where possible, signed) commitment from the mayor or city leader, to begin implementing transformational and inclusive action to deliver an emissions neutral and climate resilient city by 2050, consistent with the objectives of the Paris Agreement.	A written (where possible, signed) commitment from the mayor or city leader, to begin implementing transformational action to deliver an emissions neutral and climate resilient city by 2050, consistent with the objectives of the Paris Agreement.	The word 'inclusive' has been added to reflect the importance of an inclusive approach to climate action.
1.1.2 Targeted engagement and consultation with stakeholders	The plan is informed by consultation with key government, business and civil society stakeholders (including the communities which are directly impacted by climate change).	-	No change
1.2.1 Evaluation of related city legislation and plans	A review of the opportunities for integration with existing laws, regulations, policies, plans, and of the local government institutions that are key for accelerating delivery and are engaged in the development of the plan.	-	No change
1.2.2 Identification of related national and regional commitments	Identification of relevant commitments (governmental and non-governmental) and acknowledgement of where targets and actions are shared with or	-	No change

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	owned by other tiers of government or stakeholders.		
1.3.1 Emissions neutrality target and interim target	Ambitious targets in the climate action plan align with emissions declining (rapidly) or peaking in the shorter term (e.g. 2030) and achieving emissions neutrality in the longer term (by 2050). Targets are informed by, and aligned with, the principles of C40's Deadline 2020 research. Where appropriate cities can identify residual emissions as set out in pillar 3.3.	Targets or a carbon budget and milestones present an accelerated and realistic picture of declining (or peaking) city-wide emissions through to emissions neutrality by 2050 and ambitious (2030) interim target. Average emissions across C40 cities should reach 2.9 tonnes of carbon dioxide equivalent (2.9 t CO ₂ eq) per capita by 2030, in line with Deadline 2020 research on the global carbon budget.	The revised text places a slightly greater emphasis on the importance of shorter-term GHG emission reduction targets (2030). The references to carbon budget text is shifted to 'go further examples'. The specific reference to figures in C40's Deadline 2020 research with information on the average emissions across all C40 cities has been removed.
1.3.2 Goals and milestones for climate resilience and adaptation	The goals and milestones present a realistic picture of projected climate change scenarios and adaptation requirements for the short term (within 4-5 years from the plan's formal approval), medium term (e.g. 2030) and long term (2050).	-	No change
1.3.3 (New) Goals and targets for wider benefits. 1.3.3 (Old) Wider and more inclusive benefits.	The plan identifies goals and/or targets for the main wider benefits of climate actions.	The plan states a clear ambition for inclusive climate action, identifying the wider benefits to be gained through the delivery of the plan and referencing how benefits impact other city priorities.	The change aims to provide further clarity around the importance of connecting climate action with other city priorities and the wider benefits of climate action. The change introduces the need to identify goals and targets for these wider benefits (rather than simply identifying them). This

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			<p>requirement can be met through qualitative statements (goals) although it is preferable for quantitative targets to be included. This change also aims to align the requirements across mitigation, adaptation and wider benefits.</p>
<p>1.4 (New) Human resources</p> <p>1.4 (Old) Human and financial resource</p>	<p>The human resources that are needed to ensure delivery of the plan in the short term have been identified, and, where possible, appropriate budgets have been allocated.</p>	<p>The costs and human resources that are needed to deliver the plan have been determined. Resources and budget have been allocated for at least the first year of plan implementation.</p>	<p>The changes provide more clarity by focusing the requirement on the identification of short-term human resource needs, and budget allocation where possible. The change introduce more flexibility as not all cities are able to allocate budgets prior to formal adoption of the CAP. The word 'costs' has also been removed to avoid confusion with 3.1.2 where information on action costs and financing/funding are identified.</p>
<p>1.5 Communications, outreach and advocacy</p>	<p>There is a communications plan for the CAP launch and implementation, which informs wider stakeholders in the city. The communication plan incorporates information on how stakeholders will be able to contribute towards the implementation of the plan.</p>	<p>Communication occurs during the plan's development, launch and implementation. Communications are targeted to diverse stakeholder groups and supported by engagement, capacity-building and behaviour-change programmes to enable key stakeholders to play their part in delivering the plan.</p>	<p>Removed requirement for communications plan in the development of a CAP and this has been shifted to 'go further examples'. It has also reduced the perceived overlap with 1.1.2 (stakeholder engagement). In addition, more flexibility has been introduced as specific reference to targeted</p>

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			stakeholder groups has been removed and instead focuses on 'wider stakeholders in the city.'

PILLAR 2 Criteria	Essential criteria (March 2020)	Previous version (if different)	Rationale for change
2.1.1 Current climate and environmental quality	There is a description of the administrative boundaries and physical geography as relevant to climate change (e.g. coastal, inland, fluvial, topography, elevation).	-	No change
2.1.2 Socio-economic context and key future trends	Contextual information (including trends where available) is presented. This includes indicators or information on social and economic priorities for the city (e.g. demographic information, as well as information on key themes such as health and wellbeing; education and skills; economic prosperity; essential public services; civil society; institutions and governance). Where available, information is included on the availability/ access, affordability/ prosperity, and spatial inclusion aspects of these themes.	Contextual data and trends (where available), including indicators or information on social and economic priorities for the city (e.g. demographics, education, employment status, equity).	Language updated to better link to updated C40 ICA resources (https://resourcecentre.c40.org/resources/inclusive-climate-action). Socio-economic context links to the thematic areas identified in the C40 ICA Indicators database. Emphasises importance of understanding vulnerable groups within the city boundaries as they are frequently disproportionality affected by climate change.
2.2.1 City administrative structure and scope of the plan	The plan describes the city's governance and administrative structure and the scope of the plan (e.g. the inclusion of non-	-	No change

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	governmental bodies).		
2.2.2 City powers and capacity	There is an assessment of the powers held by city government over relevant sectors, assets and functions or actions, noting where additional collaboration is needed to accelerate the delivery of transformational actions over the short term.	-	No change
2.3 Greenhouse gas emissions inventory	The sector-level inventory includes details of, or references to, the methodology used, and covers the following emissions sources: scope 1 emissions from fuel use in buildings, transport and industry; scope 2 emissions from use of grid-supplied energy; and scope 1 and 3 emissions from waste generated within the city's boundary. The inventory covers a full year of data and was compiled no more than 4 years prior to publication of the plan. The inventory also includes emissions from the 'industrial processes and product use' (IPPU) sector and the 'agriculture, forestry and other land use' (AFOLU) sector where the city's economy contains strong contributions from the industrial and	-	No change

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	agricultural sectors.		
2.4.1 Business-as-usual emissions trajectory	The BAU emissions trajectory is presented in the plan, which takes into account the projected population and economic changes for the city and provides a scenario to 2050. The methodology is documented, with transparency on the inputs and assumptions used.	-	No change
2.4.2 (New) Emissions trajectory or carbon budget (Old) 2050 emissions trajectory or carbon budget	Evidence is presented to show that the strategies and actions (conditional or unconditional) identified in the CAP could deliver on the emissions trajectories and targets (or budgets) that have been established. Any residual emissions are identified in this emissions trajectory.	The emissions trajectory or carbon budget to 2050 (or earlier) is aligned with the city's emissions neutrality target, interim target(s), and actions. Residual emissions (see Pillar 3.3 – Residual emissions) are identified in the emissions trajectory (i.e. once city actions are maximised and actions undertaken by other actors are included).	The changes aim to provide clarity on the requirement to demonstrate how actions identified link to the specific strategies and emission trajectories established. Feedback received from users suggested that wording of the previous criteria was considered to be unclear.
2.5.1 Climate hazard assessment	There is an assessment of the changing frequency, severity and scale of all significant climate hazards through to 2030 with a commitment to assessing climate hazards through to 2050. Hazard scenarios are based on standard local methodologies or at least on a	There is an assessment of the changing frequency, severity and scale of all significant climate hazards through to 2050. Hazard scenarios are based on standard local methodologies where available or are based on a medium-emissions scenario (e.g. representative concentration pathways peaking at 4.5 by 2100).	Some flexibility has been introduced with climate risk assessment through to 2030 required, with a commitment to assessing hazards out to 2050.

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	medium-emissions scenario (i.e. Representative concentration pathways peaking at 4.5 by 2100).		
2.5.2 (NEW) Climate hazard impact assessment (Old) Impact assessment	There is a qualitative assessment of the impact to city systems, sectors and vulnerable communities based on the climate hazard assessment. The impact of hazards on city inhabitants and vital infrastructure (e.g. utilities, hospitals) is considered based on their vulnerability and adaptive capacity.	-	Minor change to name of sub-category to include the words 'climate hazards' to avoid confusion with other kinds of impact assessment.

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3.1.1 Evidence-based mitigation and adaptation actions	The list of mitigation and adaptation actions is informed by the evidence base. It focuses on the highest emissions sectors and climate risks, and the actions that deliver the greatest emissions and risk reduction potential. Mitigation and adaptation actions are considered in an integrated way, maximising efficiencies and minimising investment risk.	The list of mitigation and adaptation actions is informed by the evidence base. It focuses on the highest emissions sectors and climate risks, and the actions that deliver the greatest emissions and risk reduction potential. The list is also informed by an evaluation of impacts from existing actions, where feasible. Mitigation and adaptation actions are considered in an integrated way, maximising efficiencies and minimising investment risk.	Text changes introduced to simplify the criteria. The following statement was removed. "The list of mitigation and adaptation actions is informed by the evidence base. It focuses on the highest emissions sectors and climate risks, and the actions that deliver the greatest emissions and risk reduction potential. Mitigation and adaptation actions are considered in an integrated way, maximising efficiencies and minimising investment risk."
3.1.2 (New) Funding and financing	Potential financing / funding sources for priority actions have been identified.	Costs (operational and capital expenditure) are attributed to mitigation and adaptation actions and assigned in line with the	Costing actions in a climate action plan is a challenge for many cities, therefore this

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3.1.2 (old) Actions costed for implementation		phased delivery of actions.	essential criterion now focuses on identifying potential funding and financing sources for priority actions only, rather than 'allocating costs to the phased implementation of actions'.
3.1.3 Transparent methodology for prioritisation of actions	Actions are selected and prioritised based on their impact on reducing GHG emissions, or their ability to reduce risk, or on their wider benefits. The prioritisation methodology is documented.	Actions are prioritised based on their impact on reducing GHG emissions, or their ability to reduce risk. Prioritisation is linked to the emissions and risk scenarios presented under Pillar 2. The prioritisation methodology is documented.	Minor change to remove cross reference to pillar 2 and reference the role of wider benefits in the prioritisation process.
3.1.4 Identification of the wider benefits	Wider social, environmental and economic benefits of climate actions are identified in the plan and aligned with local priorities.	-	No change to criteria. However, it was previously located under 3.4 'Inclusive climate action and wider benefits'). The rationale for this minor reorganisation is to better integrate ICA requirements into the Framework.
3.1.5 Fair and equitable distribution of benefits	There is an explanation of how inclusivity has been taken into account across the suite of actions and how specific vulnerabilities or inequalities in the city are addressed within the plan.	-	
3.1.6 Action ownership and powers	Each action has, at a minimum, a lead institution. The means of implementation (conditional or unconditional of the support of, or funding by other actors) are identified in the plan. Where other actors have been identified as lead organisations, the role of the city in tracking	-	No change

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	progress, as well as partnership or collaboration arrangements, should be described.		
3.1.7 Delivery timescales	Action delivery timescales (start and end) are linked to the 2050 emissions trajectory and climate risk profile, demonstrating how actions will contribute to meeting stated goals.	-	No change
3.2 (New) Identifying barriers 3.2 (old) Overcoming challenges,	Significant barriers to implementation of actions have been identified, along with actions to overcome them.	Challenges to the implementation of actions are assessed through a risk assessment and addressed through risk management and monitoring measures.	<p>Revised name of category to '3.2 Identifying barriers' to avoid confusion with pillar two, 'Challenges and Opportunities'. The essential criteria now focuses on identification of significant barriers to action implementation.</p> <p>The requirement for a risk assessment has been removed as this is not considered to be essential for a climate action plan, more critical at the implementation planning stage. Monitoring measures are covered in 3.5.1 and 3.5.2 which focuses on monitoring impact and reporting on climate actions.</p>
3.3 Residual emissions	Once all action is exhausted, the quantity of residual emissions is estimated through to 2050 and	-	No change

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	<p>identified in the 2050 trajectory. There is a written commitment to update emissions trajectories and to maintain an up-to-date estimate of residual emissions.</p>		
<p>3.4.1 Monitoring implementation (previously 3.5.1)</p>	<p>There is a process for monitoring and reporting progress on implementation of the climate action plan with key performance indicators identified for priority actions. This includes regular monitoring and public reporting, in line with existing governance and reporting systems.</p>	<p>There is a process for monitoring and reporting progress on implementation with set key performance indicators. This includes regular monitoring, and yearly reporting (at a minimum), in line with existing governance and reporting systems. C40 cities should report against the 1.5 degrees Celsius Pathway Indicators. Progress is reported to the mayor's office and publicly (except with regard to confidential data), as well as to a global platform to communicate the city's contribution to the Paris Agreement.</p>	<p>Flexibility introduced as monitoring only required for key performance indicators for priority actions. There is flexibility for the city to define the KPIs.</p>
<p>3.4.2 Evaluation of impact (previously 3.5.2)</p>	<p>There is a process for evaluating impact of the climate action plan, which includes city wide emissions reductions, risk reduction and the equitable distribution of benefits. There is a commitment to regular evaluation of impact of the climate action plan in line with city context/capacity.</p>	<p>There is a process for evaluating impact (emissions reduction, risk reduction and wider inclusive benefits). There is regular evaluation, at pre-defined times and in line with emissions inventory reporting updates, or as new information on climate risks becomes available.</p>	<p>Minor change to reflect ICA language "equitable distribution of benefits".</p>
<p>3.4.3 Review and revision of the plan</p>	<p>There is a commitment to publishing updates, supplements or addenda on a 5-yearly basis, and/or at the start of each new mayoral term (particularly</p>	<p>-</p>	<p>No change</p>

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	where a change of administration has occurred), informed by evidence from monitoring and evaluation.		

*'Fair and equitable distribution of benefits'
to be equitable and inclusive'*

*'Identification of the wider benefits'
'Mitigation and adaptation actions designed*