

Ad Hoc Working Group on the Paris Agreement

Third part of the first session, Bonn, 8-18 May 2017

Agenda item 6: Matters relating to the global stocktake referred to in Article 14 of the Paris Agreement:

- a) Identification of the sources of input for the global stocktake
- b) Development of the modalities of the global stocktake

Informal note by the co-facilitators – First iteration

Note: *This note is our attempt to informally summarise the views expressed by Parties on this agenda item in their submissions and discussions during the meetings of the informal consultations. The note has been prepared under our own responsibility and thus has no formal status. It is not intended to prejudge further work that Parties may want to undertake nor does it in any way prevent Parties from expressing other views they may have in future.*

Moving towards capturing progress at APA 1.3

This is the first iteration of our informal note. In accordance with the guidance from the APA Co-Chairs, in preparing further iterations of this note over the course of this session, we will seek further input from Parties to allow us to capture progress. The next iteration of the informal note will build on the current iteration, and will reflect further views expressed by Parties. After which the content of further iterations of the informal note could include skeleton outlines or section/chapter headings, supplemented with textual proposals where possible, in order to meet the Co-Chairs' stated goals for this session. Skeleton outlines or section/chapter headings, supplemented with textual proposals where possible, will not replace the content of the Table 1 below, which will be contained in an Annex.

Box 1: Article 14 of the Paris Agreement

1. *The Conference of the Parties serving as the meeting of the Parties to the Paris Agreement shall periodically take stock of the implementation of the Paris Agreement to assess the collective progress towards achieving the purpose of the Agreement and its long term goals (referred to as the “global stocktake”). It shall do so in a comprehensive and facilitative manner, considering mitigation, adaptation and the means of implementation and support, and in the light of equity and the best available science.*
2. *The Conference of the Parties serving as the meeting of the Parties to the Paris Agreement shall undertake its first global stocktake in 2023 and every five years thereafter unless otherwise decided by the Conference of the Parties serving as the meeting of the Parties to the Paris Agreement.*
3. *The outcome of the global stocktake shall inform Parties in updating and enhancing, in a nationally determined manner, their actions and support in accordance with the relevant provisions of the Paris Agreement, as well as in enhancing international cooperation for climate action.*

Table 1: Summary of views expressed by Parties (submissions and views at informal consultations)

Linkages and context (some Parties have seen this as separate category while other consider this as part of modalities):

- Linkages with ongoing work under other APA agenda items (e.g., item 3, 4, 5 and 7) as well as with other ongoing work under the Paris Agreement Work Programme (e.g., the FD2018, SBSTA item 11)

- Linkages between Article 14 on GST, Article 2 and other articles of the Paris Agreement (3, 4, 7, 8, 9, 10, 11, 13). Linkages specifically mentioned by Parties:
 - Mitigation: Art 2.1(a), Art 4.1, 4.2, 4.3, 4.4, 4.5, 4.8, 4.12, 4.13, 4.19, Art. 9, 10, 11, and Art. 13 (13.5)
 - Adaptation: Art 2.1(b), Art 7.1, 7.14, 7.7, 7.8, 7.10, 7.13, 9.4, 10.2, 11.3, 13.5 & 8, and 7.14
 - Loss and damage: Art. 8.3
 - Means of implementation and support: Art 2.1(c), Arts 9.1, 9.2, 9.3, 9.6, 9.9, 10.1, 10.6, 11.1, 13.6
- The context for the modalities and sources of inputs for the GST should:
 - Be based on a common understanding of collective progress:
 - Progress on transformation
 - Progress on targets (gap between the overall committed targets of Parties and the global collective progress on mitigation, adaptation and MoI; gap between the collective progress on mitigation, adaptation and MoI and the purpose of the PA and its LTGs)
 - Good practices
 - Mitigation-specific progress:
 - Assessment of the aggregate adequacy of NDCs (the extent to which they are compatible to 1.5 degrees)
 - Assessment of the aggregate progress towards the achievement of NDCs by Parties
 - Adaptation-specific progress:
 - The extent to which Parties have begun integrating adaptation into national development plans and processes
 - The extent to which developing countries have access to MoI that are sufficient and predictable
 - Be informed by best available science
 - Be assessed based on:
 - Communicated and reported information
 - progress that has been made and not on ex-ante assessment of the subsequent NDCs
 - Reflect its principles:
 - it will be conducted in a comprehensive and facilitative manner, considering mitigation, adaptation and means of implementation and support, and in the light of equity and the best available science
 - be in accordance with the principles and provisions of the Convention and relevant provisions of the Paris Agreement (Art. 2, 3 and 10.1)
 - Reflect that it is Party-driven and be conducted in a balanced and transparent manner, as part of the “ambition” and “improvement” cycles (not a passive review of implementation) and operationalize “no backsliding”
 - Have the following characteristics: positive (exchange best practices, motivation, mutual encouragement); durable, action-oriented; learning by doing, nationally determined; timely; tailored and holistic manner; and ownership
 - Be mindful of regional differences in the impacts of climate change and the resilience of regions as well as capacity constraints and capabilities to access resources

Sources of input

Decision 1/CP.21

99 *Requests the Ad Hoc Working Group on the Paris Agreement to identify the sources of input for the global stocktake referred to in Article 14 of the Paris Agreement and to report to the Conference of the Parties, with a view to the Conference of the Parties making a recommendation to the Conference of the Parties serving as the meeting of the Parties to the Paris Agreement for consideration and adoption of at its first session, including, but not limited to:*

(a) Information on:

(i) The overall effect of the nationally determined contributions communicated by Parties;

(ii) The state of adaptation efforts, support, experiences and priorities from the communications referred to in Article 7, paragraphs 10 and 11, of the Paris Agreement, and reports referred to in Article 13, paragraph 8, of the Paris Agreement;

(iii) The mobilization and provision of support;

(b) The latest reports of the Intergovernmental Panel on Climate Change

(c) Reports of the subsidiary bodies;

- **The approach for identifying sources of input:**
 - Build an initial non-exhaustive list to be completed prior to each GST by: Parties/co-facilitators of technical expert groups/secretariat, SBs, technical phase facilitators in consultation with Parties; bearing in mind the need to maintain a manageable process;

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- Be comprehensive and balance inputs between mitigation, adaptation and means of implementation and support
 - Selection of sources of input should be demand/question oriented (what then where is needed)
 - Prioritize official inputs from Parties and allow for input from non-State actors (NSA)
 - Balance between IPCC and non-IPCC
 - Need to identify sources of input that would allow for the assessment of progress in the light of equity (e.g. equity framework with indicators and indexes previously submitted, others);
 - Not pragmatic to finalize the full scope of the inputs for the GST in 2023
 - To ensure that the GST remains robust and effective in meeting its objectives, consideration of inputs should take into account the following:
 - The necessity for the GST to be based in best available science (the latest reports of the IPCC)
 - The importance of leveraging national level reporting by Parties under the PA and UNFCCC
 - The value of authoritative, third-party analysis from recognized intergovernmental and other international organizations
 - Consist of factual, technical and accurate information on the progress of each of mitigation, adaptation and means of implementation and support
 - Output requirements of the GST should drive information identification
 - Specify a cutoff date for inputs and consider late inputs in the next GST
 - Secretariat should prepare a list of relevant inputs and the timing of their availability
- **Possible generic/overarching sources of input**
 - Information from enhanced transparency framework
 - Information from NatComs, BURs/BRs; NIRs; ICA reports; IAR reports)
 - Synthesis report on information from the transparency framework, the technical expert review and the compliance committee
 - Submissions from Parties and non-Party stakeholders prior to each GST
 - Secretariat SYR on overall effect of NDCs: backwards and/or forward looking
 - Latest reports (ARs and SRs) of the IPCC
 - Submissions from Parties and non-Party stakeholders
 - Report of the next periodic review
 - Relevant reports from other UN agencies, multilateral dev. orgs and regional agencies
 - Information on potential solutions (reports of TEMs)
 - Reports of the subsidiary bodies
 - NDCs
 - Sources of input that identify barriers to implementation,
 - Sources of input that identify pre-2020 gaps,
 - Sources of input that capture impact of action,
 - Sources of input that capture gaps between action & support
 - Information on impacts of actions
 - **Possible specific sources of input for:**
 - Adaptation*
 - Information on overall effect of NDCs (relevant part of the synthesis report on NDCs)
 - Information on state of adaptation needs and plans, efforts, support, experiences and priorities from Adaptation Communications and transparency framework reports on impacts and adaptation
 - Relevant sections of the synthesis report on information from enhanced transparency framework
 - Synthesis report on adaptation communications
 - Output of the work of Parties using the modalities of the recognizing adaptation efforts (developed by AC and LEG)
 - Report of the AC, LEG, NWP, LDCF, WIM
 - Barriers to implementation & support
 - Resilient Development Strategies
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- A regular report by the secretariat prepared with the aim of assessing progress towards the on the global goal on adaptation

Mitigation

- Relevant national information from the enhanced transparency framework and a synthesis report by the secretariat on the reporting under the enhanced transparency framework, including technical review and multilateral consideration and summaries of GHG emissions and emission trends, (aggregate impact and state implementation of NDCs)
- Information to showcase of mitigation actions and programmes
- Information on challenges and barriers
- Information on resources requirements
- Information on gaps in terms of finance, technology and capacity for supporting mitigation action
- Synthesis report by the secretariat to estimate the aggregate effect/adequacy of NDCs (anticipated effect of NDCs that have been communicated for subsequent periods)
- Information in the context of long-term low greenhouse gas emissions development strategies
- Inputs for identifying potential and concrete options for increased climate action for achieving the level of collective mitigation effort required
- Long-Term Low-Emission Strategies
- A regular report by the secretariat prepared with the aim of assessing progress towards the on long-term goal on mitigation

Means of implementation and support

- Information on mobilization and provision of support
- Relevant sections of the synthesis report on information from enhanced transparency framework (Summaries of GHG emissions and trends of all Parties elaborated by the secretariat biennially from NIR and biennial communications)
- Information on needs of support and gaps
- Reports of operating entities of the FM, SCF, AF, AC, WIM ExCom, TEC/CTCN, PCCB, GCF, CBIT as well as biennial communications by developed countries on indicative quantitative and qualitative financial information and communications, reports, NDCs by developing countries on financial, technology and capacity building needs
- Information on collective pace of transformation in technology, investment in low carbon development, consumption behaviour, institution and policy;
- Information on best practices, experiences and lessons learned;
- Information on potential barriers to implementation and the way to overcome them;
- Information on opportunities for international cooperation, in particular climate finance and technology innovation
- Report of the GCF on financial provisions
- Available information on efforts related to financial support provided by developed to developing countries
- Information from international financial institutions on climate proofing and climate resilience measures
- Sources of input that capture linkages and gaps between action & support
- Assessment of support provided for the implementation of the conditional component of the NDCs
- Adequacy of effectiveness of action and support provided for adaptation (information on costs of priorities identified and needs identified in the Adaptation communications, NDCs, NAPs, NatComs) Information provided by developed countries on climate finance efforts
- Efforts related to support on technology development and transfer for developing countries

Modalities:

Decision 1/CP.21

101. Further requests the Ad Hoc Working Group on the Paris Agreement to develop modalities for the global stocktake referred to in Article 14 of the Agreement and to report to the Conference of the Parties, with a view to the Conference of the Parties making a recommendation to the Conference of the Parties serving as the meeting of the Parties to the Paris Agreement for consideration and adoption at its first session;

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- **The approach for developing modalities:**
 - Modality should not only collect facts (as a fact-based exercise) but should also be positive, build trust and positive motivation. It should also identify opportunity for enhanced international cooperation and for Parties to encourage one another
 - Possible elements of modalities:
 - A process:
 - Simple and practical,
 - Informed by existing experiences under the Convention and from the technical process for raising mitigation ambition before 2020 and lessons learned from the 2013–2015 review, KP revisit, TEPs
 - Include a public registry for GST purposes
 - Ensures balance between adaptation, mitigation and means of implementation and support (considered in context and in parallel) and linkages between action and support
 - Capable of learning from previous GSTs and building trust
 - Considers different roles and differentiated responsibilities between developed and developing countries Parties
 - Organization/ design of the process
 - Conducted by the CMA but who else (e.g. for technical tasks – SBs/independent body/Thematic institutions under the UNFCCC) - tasks: contributing technical inputs and analysis (e.g., synthesis reports on aggregated effects of NDCs); Organizing and/or facilitating the technical streams and high-level leadership phase; engaging non-Parties (e.g., Global Action Agenda, Local communities and Indigenous Platform.
 - Ensures full participation of Parties, especially of developing countries
 - Ensures involvement of other stakeholders (at what stage and in what capacity)
 - Number of workstreams and linkages between thematic areas
 - Link between sources of input and outputs
 - Need to identify aspects/elements which will be durable over time and those which will be related only to specific GST
 - Duration of the process
 - One and a half years
 - All inputs to be in by June/mid-year session of the year of the GST
 - Process lasting for at least one year and culminating at the relevant CMA
 - Should depend on the timeframe of information gathering and implementation process
 - Timelines and sequencing,
 - Aligning IPCC and GST cycles (link to availability of IPCC ARs (maximum 2.5 years))
 - On the structure of the process several Parties specifically mentioned that it was too early to discuss this issue as these could be defined after clarifying outcomes, discussing principles and context which will clarify the inputs needed and modalities for the GST. Other Parties see more than one phase:
 - **Preparatory phase:** generate ahead the necessary inputs
 - **Technical phase**
 - *Aim:* Identify, analyze and summarize, allow for exchange of best practices and experiences and understand the gaps, collecting of technical information, motivation and showcasing, trust building, identification of opportunities for enhanced international cooperation, encouraging each other;
 - *Inputs:* See section I above
 - *Timing:* sufficient for preparation and consideration of technical information/ depend on the timeframe of information gathering and implementation process
 - *Format:* Dialogue (structured/expert); workshops; Forum; Special events/taskforce/panel (e.g. panel under CMA); Ad-Hoc Working Group; Joint SB contact group; technical committee of chairs/co-chairs of the SBs and CBs, series of focussed and inclusive information exchange between Parties and non-Parties that would produce a synthesis report or reports,
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- *Output/outcome*: SYRs by vice chairs/co-facilitators, summary of inputs and technical discussions, conclusions by the SBs; Q and A; Compilation of technical information
Compilation of meeting report; ref to Art. 2
 - *Characteristics of outputs/outcome*:
 - Contain evidence and opportunities for further action;
 - Factual, non-prescriptive,
 - Include best practices, case studies and showcase of experiences
 - Distil info but not filter out,
 - Provide information on barriers,
 - Gaps between needs and support provided and on opportunities (technologies, CB, Finance); suggestions on how to improve performance of institutions and mechanisms related to support
 - Mitigation-specific, adaptation-specific, means of implementation and support-specific;
 - *Political/leadership phase*
 - *Inputs*: output of technical process; presentations by technical phase facilitators
 - *Aim*: highlight opportunities, generate political momentum, to mobilize ambition and international cooperation;
 - *Format*: high-level event: HoS/G, Ministers, Ambassadors, contact group under CMA,
 - *Characteristics of output/outcome*:
 - Be presented in a manner accessible to all/publically shared
 - Should recognize progress and strengthen confidence (positive signals)
 - Summarizes best practices/lessons learned and experiences from implementation as well as identify the potential and barriers, benefits and costs on climate actions
 - Provide information on opportunities on international cooperation, in particular climate finance and technology innovation to facilitate enhancement of domestic climate action and international cooperation in a nationally determined manner
 - Assist developing countries identify their needs and provide suggestions on how to improve performance of institutions and mechanisms related to support
 - Be recognized and agreed by all Parties
 - Be useful internationally and domestically
 - **Post GST political level engagement** (part of the ambition cycle):
 - UNSG Summit

Outcome (seen by many Parties under modalities)

- The outcome of the global stocktake shall inform Parties:
 - in updating and enhancing, in a nationally determined manner, their actions and support in accordance with the relevant provisions of the Paris Agreement
 - in enhancing international cooperation for climate action
 - The approach for clarifying the outcome:
 - What is the potential information GST might deliver? How to maximize the collective progress by enhanced international cooperation and promotion of best practices?
 - How it will inform the NDCs?
 - What information should be delivered by GST?
 - How to ensure that outcome of GST is balanced among Parties & elements?
 - What should be its format?
 - How will the output address gaps between action & support as well as impact of those actions?
 - How will the outcome address pre-2020 gaps?
 - How will the GST drive further ambition/ enhanced action?
 - How will GST recognise adaptation efforts of developing Parties?
 - Outputs
 - Deliver positive information that that can be used by Parties (good practices, positive experiences, what developing countries lack)
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- Technical (highlights)
 - the state of collective progress
 - the magnitude of future efforts needed
 - the challenges, opportunities and potential solutions towards meeting the long-term goals
 - best practices and lessons learned and the potential cooperative opportunities
 - advice on strengthening relevant mechanisms under the Convention
 - Mitigation: each Party shall communicate an NDC every 5 years that has been informed by the GST (Art 4.9): the GST is the starting point and international part of the ambition cycle
 - Adaptation: enhanced adaptation activities at the national, regional and local levels, as well as international cooperation: “improvement cycle” – not necessarily every five years in response to the GST; the output of GST could inform other processes
 - Finance: inform Parties on how to continuously progress towards achieving the PA goal of shifting finance flows and how MoI and support can most effectively be used to achieve the purpose and LTG of the PA
 - Consider using approaches used for the SED (e.g., key messages)
 - Political
 - Generate momentum/ renew commitment for increasing ambition
 - Identify options for globally scaling up future actions to meet the purpose of the PA and its long-term goals
 - Decision / no decision

Suggestions for further work after APA 1.3

- Focused submissions from Parties; Workshop on concrete elements of text with options based on a paper/note by the CF or CCs and informed by a technical paper on past experiences
 - Technical workshop on modalities
 - Further submissions of textual proposals and a technical paper
 - Submit views and proposals on an equity framework and indicators
 - Linkages: Relevant facilitators to brief the GST group/an opportunity to Q&A
 - An in-session or intersessional workshop to help clarify Parties understandings before we go into more details; based on this workshop the co-facilitators could further populate the element draft text prior to COP 23.
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