

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 – Second 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 be a compilation. It is not also 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.*

Summary of work done at APA 1.3

In the lead up to this resumed session, Parties and Groups of Parties had submitted a total of 14 submissions under APA agenda item 6. There were also additional submissions on how to progress the work of the APA beyond APA 1.3.

As of 13.00 on Monday, 15 May 2017, the APA had held 4 informal consultations (totaling 5 hours) on this agenda item. These informal consultations provided space for Parties to clarify views and/or share new ideas with each other on the topics that emerged from APA 1.2: linkages and context, outputs/outcome, modalities and sources of input for the GST.

After the informal consultations focusing on linkages and context, and outputs/outcome (addressed in about two hours of meeting time), we issued a [first iteration of our informal note](#) on 11 May 2017 (later formatted as per guidance from the APA Co-Chairs and re-issued on 12 May 2017). This first iteration was an update to Table 1 (Summary of views expressed by Parties) of the [informal note by the co-facilitators](#) for this agenda item from APA 1.2, in Marrakech. The update focused on capturing new ideas expressed in submissions and/or in oral interventions during the informal consultations on linkages and context, and outputs/outcome. For the sections of the table on modalities and sources of input, the first iteration of the informal note captured new ideas included in submissions since the informal consultations on these topics had not taken place.

Views expressed in submissions, both specifically on this agenda item and on how to progress the work of the APA beyond APA 1.3, were also summarized in the first iteration of this note.

This second iteration of the informal note by the co-facilitators for APA item 6, has been issued after informal consultations focusing on the modalities and sources of input for the GST (addressed in a total of three hours of meeting time). This iteration focused on capturing new ideas expressed by Parties in their interventions during the discussions on modalities and sources of input, as well as on reflecting any views that were not yet included in the first iteration.

Moving towards capturing progress at APA 1.3

This is the second iteration of our informal note APA 1.3. 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, including a 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 for identification of sources of input and development of the modalities for the GST (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 common understanding of the long-term goals:
 - Articles 2.1(a), 2.1(b) and 2.1(c)
 - Articles 2.1(a) and 4.1, 2.1(b) and 7.1, and 2.1(c) and 10.6
 - 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

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- 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 (bearing in mind the preambular language of the PA on equity)
 - be in accordance with the principles and provisions of the Convention and relevant provisions of the Paris Agreement (Art. 2, 3 and 10.1) – including responsibilities different Parties have
 - 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” (Progression)
 - 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

Identification of sources of input for the GST

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;

- **Sources of input identified in decision 1/CP.21, paragraph 99**

- **Additional sources of inputs:**

- Given the need for the durable and dynamic design of the GST and having in mind the difficulty to acquire the inputs for the GST, in particular the first GST, the approach for the identification of sources of input is as follows
 - **Build a non-exhaustive list (durability)** through a mechanism/process bearing in mind:
 - The need to maintain a manageable process, be comprehensive and balance inputs between mitigation, adaptation and means of implementation and support and between IPCC and non-IPCC sources (information from science and from Parties)
 - That the selection of sources of input should be demand/question oriented (what then where is needed) and linked to purpose and information needs (e.g., progress on transformation, targets and good practices)
 - To prioritize official inputs from Parties and allow for input from non-State actors (NSA)
 - 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)
 - Constituted bodies could provide synthesis of information in their area of expertise
 - **Complete the non-exhaustive list (dynamism) of sources of inputs prior to each GST**, as appropriate
 - *By whom:* Parties/co-facilitators of technical dialogue, expert groups/secretariat, SBs, technical phase facilitators in consultation with Parties. Request the secretariat to prepare a list of relevant inputs and the timing of their availability
 - *On what basis:* to ensure that the GST remains robust and effective in meeting its objectives, consideration of inputs should take into account, in addition to the above criteria the following:
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- 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 peer reviewed information on the progress of each of mitigation, adaptation and means of implementation and support and are agreed by Parties
 - Comply with the cutoff date for inputs (consider late inputs in the next GST)
 - *When:* with sufficient time in advance of activities under the GST to allow for gathering and compilation of most recent information as it becomes available (see cut-off date below)
- **Possible elements for a non-exhaustive list of sources of input**
 - **Generic/overarching sources of input** (information that is reported, communicated or both)
 - Information from enhanced transparency framework, 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
 - Reports of the subsidiary bodies
 - Information on potential solutions (reports of TEMs)
 - Report of the next periodic review
 - Sources of input that identify barriers to implementation, pre-2020 gaps and capture impact of action, gaps between action & support, impacts of actions and best practices and lessons learned
 - Relevant reports from other UN agencies (e.g., UNEP Gap report on adaptation and mitigation), multilateral dev. orgs and regional agencies
 - NDCs (e.g., section on fairness, gaps and support)
 - **Specific sources of input for:**
 - Adaptation* (information that is reported, communicated or both)
 - 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 *[placeholder for updated information from item 4]*
 - Relevant sections of the synthesis report on information from enhanced transparency framework
 - Synthesis report on adaptation communications *[placeholders for item 4]*
 - Output of the work of Parties using the modalities of the recognizing adaptation efforts (developed by AC and LEG)
 - Report of the AC, LEG, TEC/CTCN, SCF, NWP, PCCB, LDCF
 - Barriers to implementation and support
 - Resilient development strategies
 - A regular report by the secretariat prepared with the aim of assessing progress towards the on the global goal on adaptation
 - Mitigation* (information that is reported, communicated or both)
 - 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 and on resources requirements, and 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)
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- 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
 - 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 (including global financial flows) (information that is reported, communicated or both)

- 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
- Information from multilateral financial institutions / development banks (e.g., total global investment in clean technology)

Others:

- Reports of the WIM, reports of the UNISDR and others
- Reports of the forum on response measures

Development of the modalities of the GST

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;

- **Elements of modalities defined in Article 14**
 - **Possible additional elements**
 - A process:
 - Simple, practical, and flexible (capable of learning from previous GSTs)
 - Designed taking into account 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, and TEPs
 - Ensures balance between adaptation, mitigation and means of implementation and support (considered in context and in parallel) and linkages between action and support
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- Considers different roles and differentiated responsibilities between developed and developing countries Parties
 - Include a public registry for GST purposes
 - Organization/design of the process
 - Conducted by the CMA with assistance from:
 - Subsidiary bodies, constituted (thematic) bodies under the UNFCCC, specific arrangements (see below)
 - 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)
 - Reporting to CMA
 - Ensures full participation of Parties, especially of developing countries and involvement of other stakeholders (at what stage and in what capacity)
 - 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
 - Phases: Three emerging models, which are not mutually exclusive:
 - Model 1: Two/tree phases with some overlapping and interaction between phases:
 - Preparatory phase: generate ahead the necessary inputs (could be part of the technical phase)
 - 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 sources of input
 - *Timing*: sufficient for preparation and consideration of technical information/ depend on the timeframe of information gathering and implementation process
 - *Format/governance*: workstreams, dialogue (technical dialogue, structured expert dialogue); workshops; forum; special events; taskforce/panel (e.g. panel under CMA); joint SB contact group; Ad-Hoc Working 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
 - *Outputs*: 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, key messages (similar to SED), describing:
 - 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
 - *Characteristics of outputs*:
 - Be factual, non-prescriptive; distil info but not filter out; contain evidence and opportunities for further action and include best practices, case studies and showcase of experiences; provide information on barriers to implementation, gaps between needs and support provided and on opportunities (technologies, CB, Finance) and suggestions on how to improve performance of institutions and mechanisms related to support
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- Political/leadership phase
 - *Inputs*: output of technical process (see above); presentations by technical phase facilitators
 - *Aim*: highlight opportunities, generate political momentum to mobilize ambition and international cooperation
 - *Format/governance*: high-level event: HoS/G, Ministers, Ambassadors, joint contact group of SBs, contact group under CMA
 - *Outputs*: Decision capturing common understanding of progress and generates momentum for renewing commitment for increasing ambition / no decision
 - *Characteristics of output*:
 - Be recognized and agreed by all Parties, presented in a manner accessible to all/publically shared and useful internationally and domestically
 - 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 and considerations on equity
 - Provides information on options for globally scaling up future actions to meet the purpose of the PA and its long-term goals, including 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
 - Model 2: Three phases intertwined with dynamic interaction amongst them and parallel technical (technical dialogue) and political work (joint SB contact group):
 - Information gathering and compilation
 - *Aim*: gather and compile the information identified in the sources of information taking into account the timelines for the various workstreams, identify information gaps and, where necessary, make requests for additional inputs and studies that would be useful for conducting the GST
 - *Inputs*: See sources of input, and guidance from the Joint contact group
 - *Timing*: depends on the availability of sources of inputs; cut-off date for consideration of inputs
 - *Format/governance*: workstreams, technical dialogue with Co-facilitators selected by Parties (technical) and joint SB contact group (political)
 - *Outputs*: SYRs by Co-facilitators, key messages (similar to SED), guidance for preparation of inputs and for filling information gaps
 - Consideration of inputs/assessment
 - *Aim*: develop a common understanding of outputs
 - *Inputs*: output of the information gathering and compilation phase (see above) as it becomes available, guidance from the joint contact group
 - *Format*: technical dialogue, joint contact group of SBs
 - *Outputs*: reports of the technical dialogue, SB conclusions
 - Preparation and consideration of outputs
 - *Aim*: capture outputs agreed by all Parties, highlight opportunities and generate political momentum to mobilize ambition and international cooperation at a high-level leadership event
 - *Inputs*: output from the consideration of inputs/assessment phase
 - *Format*: Joint SB and/or CMA contact group
 - *Outputs*: Synthesis/technical report(s) and CMA decision
 - Model 3: Simple design, with neither phases nor workstreams:
 - Conducted by the CMA and a simple design ending with information delivered and communicated to Parties
 - Simple, pragmatic, cost-effective approach with the outcome agreed by Parties
 - Process is facilitative, Party-driven and Party-specific; collected sources of inputs ending in an agreed outcome
 - *Timing (duration)*: short, limited and concise to ensure durability and resilience of the process
 - *Characteristics of outcome*:
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- Informative (will inform in a nationally determined manner) and includes best practices, and positive communication
 - Identifies gaps that exist between needs, action, and support; climate action-specific, and support for that action
 - Enhancement of international climate action
 - Enhance the implementation of adaptation action
 - Review the effectiveness of adaptation action and support
 - Review the overall progress made in achieving the global goal on adaptation
 - Review of climate action within the context of sustainable development and poverty eradication and economic diversification with an assessment of Parties resilience to the impact of response measures
 - Identifying pre-2020 gaps
 - Without a post-phase or action
 - *Post GST political level engagement* (part of the ambition cycle, not for model 3 above):
 - UNSG Summit for the submission of NDCs
 - Workstreams
 - Mitigation, adaptation, means of implementation and support (could have sub-streams on finance, technology, capacity building)
 - Other workstreams (e.g., loss and damage, equity)
 - Overall duration of the process
 - Fixed
 - 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 (sufficient time for preparing and considering the inputs)
 - Timelines and sequencing
 - Aligning IPCC and GST cycles (link to availability of IPCC ARs (maximum 2.5 years))
- **Modalities for considering the IPCC assessments** (based on advice received from SBSTA)
 - **Placeholder for specific modalities for adaptation** (based on the work of AC and LEG in collaboration with SCF)
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Outcome of the GST (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?

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
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- Submissions on 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
 - Background note on experiences and lesson learned from the TEMs and 2013-2015 review
 - Technical paper by the secretariat on indicators used by Parties in their (I)NDCs on fairness and equity
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