



# Australian Government

## Submission on APA Item 6 – Inputs and Modalities of the Global Stocktake

April 2017

Australia welcomes this opportunity to share views on the inputs and modalities for the Global Stocktake (APA Item 6). This submission takes into consideration the guiding questions provided by the APA co-facilitators<sup>1</sup> and builds on our previous submission prepared with Canada, Japan and the United States.

### I. OVERALL CONTEXT

The Global Stocktake is an important element of the Paris Agreement framework and if appropriately implemented will assist Parties in achieving our collective long-term goals. The objectives of the Global Stocktake are set out clearly in Article 14 of the Paris Agreement: it should consider collective progress towards the long-term goals (mitigation, adaptation and finance) and its outcome should inform Parties in updating and enhancing, in a nationally determined manner, their actions and support as well as enhancing international cooperation for climate action. As Parties further elaborate the modalities and inputs of the Global Stocktake, these objectives and outcomes should be central to discussion. Discussions should also reflect the principles of the Global Stocktake: that it be conducted in a comprehensive and facilitative manner, in light of equity and the best available science.

### II. MODALITIES

Australia considers that Parties should seek to agree on a structure for the stocktake which is durable over time and is not overly prescriptive. The first stocktake is not until 2023 and it will repeat every five years. We should ensure sufficient flexibility to account for new developments, learn from experience and avoid locking in deficiencies in its design at the outset. We should seek to agree on a structure by COP24, forming part of the “Paris Rulebook”.

It is envisaged that the structure of the Global Stocktake will involve a leadership component which provides the opportunity to encourage enhanced action. Our common objective should be to create a process which will support the delivery of the three Paris goals. The political moment should provide the impetus for all Parties to increase ambition and inform the production of subsequent NDCs.

It is also envisaged there will be a technical component to the stocktake that will inform the subsequent leadership component. In determining the modalities and inputs of the technical phase, we should recognise that the three long-term goals are different in nature (although evidently connected) and that a stocktake of progress will need to have appropriate technical inputs and modalities to answer the different questions at hand. Elements of the stocktake dealing with

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<sup>1</sup>Ad-Hoc Working Group on the Paris Agreement (APA), Agenda Item 6, Informal Note by the Co-Facilitators, 14 November 2016

mitigation, adaptation and support should therefore be dealt with separately. We should seek to articulate questions for each stream which are capable of being answered at a technical level and which will usefully inform political discussion in line with the Article 14's objective stated above. Some questions will have a quantitative focus and others will require a qualitative approach.

In Australia's view, the Presidencies should have a strong role in guiding the conduct of the Global Stocktake. The UNFCCC Secretariat should support the Presidencies, particularly on questions of organisation of technical aspects of the process. The Secretariat may also have a role in drafting documents to support the outcomes of the stocktake – for instance, in compiling a document comparable to the 2015 Synthesis Report according to agreed inputs and modalities. For the political process, Australia envisages an important role for the Champions.

### **III. INPUTS**

Australia considers that specific inputs to a global stocktake should be selected in the lead-up to each stocktake. This provides flexibility to adjust the operation of the stocktake over time in light of experience. It would be helpful to set out some criteria to guide the selection of inputs. For the first stocktake culminating in 2023, the selection of inputs could take place in 2021 or 2022, subject to the timeframe required by the stocktake's eventual modalities.

Inputs should be authoritative and should preference materials already produced under Paris Agreement reporting obligations. The IPCC reports will be fundamental inputs, as will aggregated national greenhouse gas inventory data from all Parties, NDCs and long-term low greenhouse gas development strategies.

Inputs from non-state actors will be important in giving a full account of collective progress against the Paris Agreement's long-term goals. There is an evident need to balance inclusivity in seeking inputs while ensuring the pool of inputs is manageable for experts, is of high quality and scientifically robust. A number of potential processes could be considered which could assist in striking an appropriate balance.

In addition to overarching criteria, the selection of inputs should be guided by relevant questions for the three streams which will be durable over time. Discussions on the GST in Bonn in May 2017 could seek to elaborate such questions relevant to the long-term goals.

## **VIEWS OF ARGENTINA BRAZIL, AND URUGUAY ON APA 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; and (b) development of the modalities of the global stocktake”.

The Governments of Argentina, Brazil and Uruguay welcome the opportunity to submit their views on issues discussed under this agenda item, in response to APA invitation at the second part of its first Session (APA 1-2), taking into consideration the questions listed in paragraph 25 of the document FCCC/APA/2016/4.

### **Linkages and context**

*(a) How to understand and assess collective progress towards achieving the purpose of the Paris Agreement and its long-term goals? How will this be done 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?*

*(b) How to increase understanding of the linkages between Article 14 and other articles of the Paris Agreement, which are directly or indirectly linked to the GST?*

It is the view of Argentina, Brazil and Uruguay that, in order to understand and assess collective progress towards achieving the purpose of the Paris Agreement and its long-term goals, there is a need to understand the linkages between Article 14 and other articles of the Paris Agreement. Building on this understanding, the answers to both questions were clustered due to their close relationship.

Argentina, Brazil and Uruguay are of the view that Article 14 must always be read in conjunction with the aims of the Paris Agreement, as established in its Article 2, in order to take stock of the implementation of the Agreement to assess the collective progress towards achieving its purpose as well as its long-term goals. Article 14 should, hence, contribute to the necessary ambition for achieving the temperature goal, to increasing resilience and to mobilizing finance. It shall do so in a comprehensive and facilitative manner, consistent with the nationally determined nature of Parties' contributions, considering mitigation, adaptation and the means of implementation and support, and in the light of equity and the best available science.

However, Article 14 is not just about the specific goals, but also about the purpose of the agreement and the implementation of the agreement as a whole, to reflect equity and the principle of common but differentiated responsibilities and respective capabilities, in the light of different national circumstances. The Global Stocktake (GST) makes therefore fullcircle with all the elements of article 2. Its outputs should be able to answer where Parties are in terms of progressing collectively, where Parties are supposed to go, what Parties can do to fulfill the vision of all elements of article 2.

In this context, there is an important linkage with article 4. Further guidance on information to facilitate the clarity transparency and understanding of *NDCs* should provide agreed parameters to facilitate the compilation, synthesis and analysis of the information provided by Parties, with a view to serve as an input to the GST.

While domestically self-defining its successive *NDCs* each Party should have the fairness and ambition of the overall global effort informed by the GST as reference, in order to attend Article 4.3 of Paris Agreement.

Furthermore, the discussions on the GST should bear in mind the linkage with the consideration of common timeframes (article 4.10), starting in SBI47.

The compilation, synthesis and analysis referred to above should accommodate the diversity of *NDCs*, with a view to allowing Parties to demonstrate the collective progress towards achieving the long-term temperature goal.

Compilation exercises based on Parties' efforts must not, however, be restricted to mitigation – other compilations based on information from Parties' contributions would be important to the GST. There are, therefore, clear linkages between the discussions of Article 14 and Article 13 (transparency), but also with Article 7 (Adaptation) and Article 9 (finance). The guidance under development for adaptation communications pursuant to Article 7.10 should encourage and facilitate their compilation and analysis. The same rationale applies to the information to be communicated pursuant to Article 9, paragraphs 5 and 7.

Special attention should be given to linkages between Article 14 and Articles 4, 7, 9 and 13, giving priority to the relevant aspects to the GST as well as to the parts of those Articles that are clearly related to Art. 14 as mandated in the Paris Agreement.

There are many articles of the Agreement and paragraphs of decision 1/CP.21 that refer directly to the GST or are indirectly linked to it. Articles related to Art. 14 should be prioritized, particularly Article 4.3 as stated above.

Regarding Article 9, paragraph 9.6 states that the GST shall take into account the relevant information provided by developed country Parties and/or Agreement bodies on efforts related to climate finance. Hence, the Modalities, Procedures and Guidelines of the Transparency Framework should allow for the review of "ex post" information on support (referred to in Article 9.7) in light of the submissions of indicative "ex ante" information on support (referred to in Article 9.5). This would shed light on the flows of support provided and mobilized through public efforts, improve our understanding of the global climate finance flows and allow for aggregation for consideration under the GST.

Regarding Article 7, paragraph 7.14 states that the GST shall, inter alia:

- (a) Recognize adaptation efforts of developing country Parties;
- (b) Enhance the implementation of adaptation action taking into account the adaptation communication referred to in paragraph 10 of this Article;
- (c) Review the adequacy and effectiveness of adaptation and support provided for

adaptation; and

(d) Review the overall progress made in achieving the global goal on adaptation referred to in paragraph 1 of this Article.

Linkages between Article 14 and Article 13 are relevant to the GST, particularly in the context of paragraphs 13.5 and 13.6 that, in their turn, encompass linkages with Articles 4, 7 and 9, as considered below in the session “Sources of input”.

### **Sources of input**

*(c) How to capture information relevant for assessing collective progress towards achieving the purpose of the Paris Agreement and its long-term goals from different sources of input in a comprehensive, manageable and balanced manner among all elements, including but not limited to, adaptation, mitigation, and means of implementation and support?*

The non-exhaustive list of elements listed in paragraph 99 of decision 1/CP.21 provides the basis for the inputs.

To be consistent with the nationally determined nature of Parties’ contributions, special consideration should be given to the national information officially provided by Parties. In order to do so, the information provided under the framework for transparency of action is key to inform the GST, particularly taking in to account that:

- Article 13.5 of Paris Agreement will inform the GST regarding clarity and tracking of progress towards achieving Parties’ individual nationally determined contributions under Article 4, and Parties’ adaptation actions under Article 7;
- Article 13.6 of Paris Agreement will inform the GST regarding clarity on support provided and received by relevant individual Parties in the context of climate change actions under Articles 4, 7, 9, 10 and 11, and, to the extent possible, to provide a full overview of aggregate financial support provided.

The information related to Article 13.7, under the perspective on providing a full overview of overall effect of mitigation actions, will constitute one of the most relevant inputs from national information officially provided by Parties to inform the GST. Regarding adaptation, the information related to Article 13.8 will also inform the GST, through the appropriate vehicle, including the Adaptation Communication<sup>1</sup>, as defined by the respective Party. The

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<sup>1</sup> As presented in Argentina, Brazil and Uruguay’s submission on APA agenda item 5:  
[http://www4.unfccc.int/Submissions/Lists/OSPSubmissionUpload/525\\_323\\_131324648255521982-Bra%20Arg%20Uy%20-%20Submission-Art13%20Transparency%20Framework%20FINAL.pdf](http://www4.unfccc.int/Submissions/Lists/OSPSubmissionUpload/525_323_131324648255521982-Bra%20Arg%20Uy%20-%20Submission-Art13%20Transparency%20Framework%20FINAL.pdf)

In light of the flexibility of the vehicle of the adaptation communication, Parties may decide that the information provided under Article 13.8 constitutes their adaptation communication. If they decide not to do so, the GST will consider information aggregated from both the information provided under Article 13.8 and the adaptation communication as sources of input, pursuant to Article 7.14(b).

framework for transparency of support is also key to provide a full overview of aggregate financial support provided, to inform the GST. The information related to Articles 13.9 and 13.10 will constitute one of the most relevant inputs from national information officially provided by Parties to inform the GST on this regard.

Under the context referred to above, Biennial Transparency Reports<sup>2</sup> as well as the facilitative, multilateral consideration of progress under Article 13 of Paris Agreement should also be considered in the context of national information officially provided by Parties. It is relevant to note that the National Inventory Report of first biennial reports (to be submitted before the first GST) will not necessarily encompass adequate data to the first GST. Consequently, the first GST output will be based on very recent inputs from the Enhanced Transparency Framework: first technical expert review reports (if available on adequate time for the GST). However, Argentina, Brazil and Uruguay are of the view that the technical expert review reports, if focused on deep technical issues, with a view to ensure the quality of the data, will allow Parties to track progress of individual efforts to be compiled and serve as inputs to the GST.

One very relevant challenge to be dealt with is how to accommodate different timelines among the processes under different Articles in Paris Agreement related to the GST. On this regard, special attention should be given to the linkage between the first GST and BTRs and technical expert review reports available by 2023.

Under the context of the challenge referred to above, Submissions and other relevant reports from Parties, National Communications, biennial reports and biennial update reports, international assessment and review and international consultation and analysis could also be considered in the context of national information officially provided by Parties, as appropriate.

The annual reports to the CMA by the Committee established under Article 15 could also provide with a source of information for the GST, as detailed in Argentina, Brazil and Uruguay submission on item 7 of APA Agenda<sup>3</sup>.

Under the science approach, SBSTA acknowledged that the products of the IPCC assessment cycles will be key inputs to the GST and will provide the best available scientific knowledge that is policy-relevant but not policy-prescriptive, providing an integrated scientific, technical and socioeconomic perspective (Document FCCC/SBSTA/2016/4).

The SBSTA also stressed that the inputs from IPCC should be considered in an effective and balanced manner, as part of the overall input to the GST as well as noted that the forthcoming products of the sixth IPCC assessment cycle will be key inputs to the first GST in 2023. It recognized that the products of the sixth IPCC assessment cycle will become available at different stages during the period 2018–2022 (Document FCCC/SBSTA/2016/4).

Other non-Parties inputs, relevant to the GST, like as reports from United Nations agencies

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<sup>2</sup> As presented in Argentina, Brazil and Uruguay's submission on APA agenda item 5:  
[http://www4.unfccc.int/Submissions/Lists/OSPSubmissionUpload/525\\_323\\_131324648255521982-Bra%20Arg%20Uy%20-%20Submission-Art13%20Transparency%20Framework%20FINAL.pdf](http://www4.unfccc.int/Submissions/Lists/OSPSubmissionUpload/525_323_131324648255521982-Bra%20Arg%20Uy%20-%20Submission-Art13%20Transparency%20Framework%20FINAL.pdf)

<sup>3</sup> [http://www4.unfccc.int/Submissions/Lists/OSPSubmissionUpload/243\\_325\\_131386498218132146-Argentina,%20Brazil,%20Uruguay-%20APA%20Item%207.docx](http://www4.unfccc.int/Submissions/Lists/OSPSubmissionUpload/243_325_131386498218132146-Argentina,%20Brazil,%20Uruguay-%20APA%20Item%207.docx)

and multilateral development agencies, and other international organizations, etc. **should be further agreed by Parties as well as any other relevant information identified by consensus among Parties.**

It is the understanding of Argentina, Brazil and Uruguay that the comprehensive scope of GST means it is not just about mitigation, adaptation and means of implementation and support, but also entails relevant aspects about equity and science. IPCC will provide the GST with the best available science. However, there is still lack clarity on what would be the possible specific inputs for equity, which Parties also agreed will guide the GST. Specific inputs on equity should be elaborated based on the synthesis and aggregation of information provided by Parties in their NDCs, specifically information related to Article 4.3 and the element of "fairness and ambition" stated in paragraph 27 of Decision 1/CP.21.

Argentina, Brazil and Uruguay are of the view that specific inputs for equity should be provided to enable Parties to have references on equity to set out their fairness and ambition when domestically self-defining their successive NDCs according to Article 4.3 of Paris Agreement. In order to do so, it is relevant to note that SBSTA, among the advices on how the assessments of the IPCC can inform the GST, noted that lessons could be learned from past experience as well as stressed that the inputs from IPCC should be considered in an effective and balanced manner, as part of the overall input to the GST (Document FCCC/SBSTA/2016/4)..

Specific inputs for equity that would be useful for conducting the GST could also be agreed by Parties.

## **Modalities**

*(d) What modalities will ensure that the GST will be facilitative, open and inclusive but also efficient and effective? How will the information that is reported and communicated be processed?*

*(e) How will the CMA be assisted in conducting the GST? What bodies and processes are linked to the GST and in what way?*

*(f) What could be the most appropriate timeline for the GST? What could be its phases and streams, if any?*

The answers to the three questions were clustered due to their close relationship.

Argentina, Brazil and Uruguay are interested in to have a technical and a political phase for the process - this would require a process that is not restricted to a CMA session which means the technical phase would necessarily start within years in advance. The technical

process should provide inputs for consideration by the higher political level, which in turn would provide the political guidance for enhancing ambition.

There are existing experiences under the Convention from which the GST could draw upon. At the same time, the GST should be conducted in an effective and efficient manner, avoiding duplication of work, and taking into account the results of relevant work conducted under the Convention and its Kyoto Protocol and the subsidiary bodies.

Regarding technical phase, Parties and other relevant stakeholders, identified through consensus among Parties, could engage in structured dialogues, inter alia, through workshops and other in-session and intersessional activities, as appropriate, that aim to support the work of the political level through a focused exchange of views, information and ideas about all the elements of the GST scope. Argentina, Brazil and Uruguay suggest one Dialogue with different groups for each element of the scope, as well as two cross cutting dialogues to provide the proper context with regards to equity and science. It is relevant to note that SBSTA suggested modalities that could be utilized for considering the IPCC input, including: a dialogue between experts, IPCC experts and Parties; and special events (Document FCCC/SBSTA/2016/4).

The GST should be conducted in a transparent manner and with the full participation of Parties, which should be ensured through the provision of adequate funding for the participation and representation of eligible developing country Parties in all phases of the GST and in all activities, meetings, workshops and sessions of the Subsidiary Bodies that are part of the GST process.

The SBSTA-IPCC Joint Working Group could be used to enhance communication and coordination in the context of the GST, as recommended by SBSTA on how the assessments of the IPCC can inform the GST (Document FCCC/SBSTA/2016/4). A SBSTA-SBI joint contact group is another option, although not necessarily one option excludes the other one. Inputs from this level(s) should inform the CMA in conducting the GST, supported by technical consideration of the inputs.

The technical phase should consist of several steps, including information gathering and compilation, technical assessment through the structured dialogues and the preparation of synthesis reports for each element of the scope. The technical phase also needs to consider gaps on the necessary inputs to address all elements of the scope outlined in article 14.1.

Considering the first GST, the information gathering and compilation phase, shall run continuously from 2021 (or in a previous year to be agreed if pre-2020 inputs could be considered, as appropriate) and should end not later than [six] [X] months before the CMA in 2023, unless critical information that requires consideration emerges during this period.

One very relevant challenge to be dealt with is how to accommodate different timelines among the processes under different Articles in Paris Agreement related to the GST, as stated in the session “sources of inputs”.

It is also relevant to note that the timing of the sixth IPCC assessment cycle will be aligned with the first GST.

The CMA shall undertake its first GST in 2023 and every five years thereafter unless

otherwise decided by CMA. The overall timeframe of the GST should depend on the timeframe of information acquisition.

Argentina, Brazil and Uruguay are of the view that enough time must be given for the technical work, both for gathering and compilation of the technical work.. However, the GST must be finalized at least two years before the date of communicating a new round of NDCs. Hence, the first GST should be concluded by 2023, considering the adoption of the synthesis reports for each element of the scope by the CMA, with an invitation to Parties to submit their successive NDCs by 2025, no later than at a special Leader's Event under the auspicious of the UNSG.

### **Outcome/outputs**

*(g) How to ensure that the outcome of the GST would inform Parties in 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?*

*(h) What information will support this outcome?*

The most relevant expectation under the GST is the link between the outputs and outcome(s) from GST and how this outcome(s)/outputs will inform the elaboration of successive NDCs.

In Argentina, Brazil and Uruguay's understanding, the outputs from the GST would be the synthesis reports for each element of the scope, which in its turn will constitute the inputs for political consideration; both internationally, to assess the collective progress towards achieving the purpose of Paris Agreement as well as its long-term goals, during the political phase of the GST, and domestically, as Parties consider updated and enhanced NDCs, according to Articles 4.3 and 14.3 of Paris Agreement, as stated above in the answers under the modalities.

The linkage between the frequency of the GST every 5 years and the need for common-timeframes becomes evident in this aspect. The GST is not meant to provide a "mid term review" of national efforts, but to inform Parties in preparing their successive efforts, i.e., their next round of NDCs. In order for the GST to work appropriately and provide a political space that will incentivize Parties to enhance their successive efforts, one must acknowledge that Parties will hardly enhance their efforts if they feel other actors are delaying action and ambition.

It is the view of Argentina, Brazil and Uruguay that this next session should allow enough time to discuss the possible outputs of the GST and have a better understanding of its possible formats. Only when Parties have assessed the available outputs from GST there will be the condition to have a clear idea on the outcome to serve for the purposes of GST, particularly to update and enhance NDCs according particularly to Article 4.3.

## Submission by Canada on APA Item 6

April 2017

Canada is pleased to present further views on APA Agenda Item 6, “Matters relating to the global stocktake referred to in Article 14 of the Paris Agreement”. This submission builds on the joint-submission of October 2016 by Australia, Canada, Japan, and the United States<sup>1</sup>, and takes into consideration the questions identified by the co-facilitators in the draft conclusions of APA 1-2<sup>2</sup>. Canada notes that, as per decision 1/CP.21, the mandate of the APA is meant to focus on developing guidance on the development of modalities, and the identification of the sources for input of the global stocktake (GST)

### **I. Context**

The modalities and inputs for the GST should be guided by its agreed to objectives under Article 14 of the Paris Agreement, which in Canada’s view includes the GST:

- Providing a clear indication of collective progress made by Parties and to what extent we are collectively on track towards achieving the purpose of the Agreement, as per Article 2.1, and its long-term goals;
- Informing Parties of opportunities that they can consider for raising ambition in support of the Agreement, and to enhance international cooperation; and
- Distilling lessons learned and best-practices that could be considered and applied by all Parties in a nationally determined manner.

### **II. Modalities**

As a long-term, iterative process that is fundamental to the ambition cycle of the Paris Agreement, it will be important for the basic structure and organization of the GST to be consistent over time. In this regard, Canada continues to envision the GST as a process consisting of two overall phases: a *technical phase* consisting of a series of focused, inclusive information exchanges between Parties and non-Parties that would produce a synthesis report or reports and; a *leadership phase* that would engage Parties at the political level to communicate the findings of the technical phase, highlight opportunities, and mobilize ambitious action and cooperation.

Regarding the technical phase:

- Parties could look at the *Structured Expert Dialogue (SED)* under the *2013-2015 review* for potential lessons learned and best practices which could inform the modalities around technical work under the GST;
- The organization of the technical work should allow for a full and comprehensive review of collective progress against each of the elements of Article 2.1 of the Paris Agreement regarding mitigation, adaptation, and finance flows;

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<sup>1</sup> [See link.](#)

<sup>2</sup> [See link.](#)

- This comprehensive review could be organized into three distinct and focused streams of work, each with the mandate to assess collective progress against *one* of the elements in Article 2.1: a mitigation stream; adaptation stream and; a finance stream that includes a sub-component to consider means of implementation and support;
- The specific timing of each stream over the course of the technical phase should be flexible and based on the availability of key inputs, in particular the latest reports of the IPCC; and
- It would be valuable for the technical work under the GST to consider and take-into account non-Party action in relation to progress towards Article 2.1.

Regarding the leadership phase:

- High-level engagement as part of the GST will be important for Parties to reaffirm their commitment to collectively achieving the purpose of the Paris Agreement and its long-term goals, and individually enhancing ambition. This phase could also support broader global momentum to address climate change by making linkages to the need for action outside of the UNFCCC in complementary international fora; and
- Engaging non-Parties at this stage of the GST will be important for reinforcing the collective ambition needed to successfully implement the Paris Agreement.

Regarding the role of the CMA:

- As per Article 14 of the Paris Agreement, the CMA will conduct the GST. Consideration could be given as to what extent the CMA could be supported by the Secretariat other bodies and initiatives under the UNFCCC, as well as by other international organizations, for example with regard to:
  - Contributing technical inputs and analysis, e.g. synthesis reports on the aggregate effect of NDCs;
  - Organizing and/or facilitating the above noted technical streams and the high-level leadership phase; and
  - Engaging non-Parties, e.g. through initiatives such as the Global Action Agenda and the Local Communities and Indigenous Platform.

### III. Inputs

In Canada's view, between now and 2018 it is likely not feasible to finalize detailed guidance on the full scope of specific inputs required for the GST in 2023 and beyond. It is difficult to assess now what information will be available in 2023 and over the longer-term GST cycle. Moreover the modalities, procedures, and guidelines for the *Enhanced Transparency Framework* are currently being discussed in parallel with the GST and will be not be finalized until 2018.

In light of the above, determining the full scope of inputs should be done closer to each subsequent GST, recognizing that availability of inputs may vary over the course of the five year cycles. However, to ensure the GST remains consistently robust and effective in meeting its objectives over the long-term, consideration of inputs should take into account the following:

- The necessity for the GST is based on best available science, most notably the latest reports of the IPCC;<sup>3</sup>
- The importance of leveraging national level reporting by Parties under the Paris Agreement and UNFCCC; and
- The value of authoritative, third-party analysis from recognized intergovernmental and other international organizations.

#### **IV. Conclusion**

We look forward to reconvening discussions on the GST at the Bonn intersessional. In Canada's view, it will be useful for discussions in Bonn to begin to clarify a productive path forward to the development of clear guidance in 2018. In particular, it will be useful to identify the specific elements related to modalities and inputs of the GST that need to be considered in the guidance in 2018.

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<sup>3</sup> The IPCC is already making efforts to ensure that the publication of future assessment reports aligns with the long-term cycle of the GST.

## Présentation par le Canada sur le point 6 de l'APA

Avril 2017

Le Canada se réjouit de présenter d'autres points de vue sur le point 6 de l'ordre du jour de l'APA, intitulé « Questions relatives au bilan mondial visé à l'article 14 de l'Accord de Paris ». Cette présentation s'appuie sur la présentation commune faite en octobre 2016 par l'Australie, le Canada, le Japon et les États-Unis<sup>1</sup>, et prend en considération les questions cernées par les co-facilitateurs dans les conclusions provisoires des points 1-2<sup>2</sup> de l'APA. Le Canada note que, en vertu de la décision 1/CP.21, le mandat de l'APA doit être axé sur l'élaboration de lignes directrices pour la mise au point de modalités, et sur la détermination des sources d'intrants pour le bilan mondial.

### **I. Contexte**

Les modalités et intrants du bilan mondial doivent être guidés par les objectifs convenus en vertu de l'article 14 de l'Accord de Paris, ce qui, de l'avis du Canada, inclut le bilan mondial :

- Fournir une indication claire des progrès collectifs accomplis par les Parties, et dans quelle mesure nous sommes sur la bonne voie pour atteindre l'objectif de l'Accord, conformément au paragraphe 2.1, ainsi que ses buts à long terme;
- Informer les Parties des possibilités à considérer en vue d'améliorer le niveau d'ambition à l'appui de l'Accord, et d'intensifier la coopération internationale;
- Condenser les enseignements tirés des expériences et des pratiques exemplaires pouvant être considérés et mis en application par toutes les Parties selon des modalités déterminées au niveau national.

### **II. Modalités**

En tant que processus itératif à long terme essentiel au cycle d'ambition de l'Accord de Paris, il sera important que la structure et l'organisation de base du bilan mondial soient cohérentes dans le temps. À cet égard, le Canada continue de concevoir le bilan mondial comme un processus qui comprend deux phases globales : une *phase technique* se composant d'une série d'échanges d'information ciblés et inclusifs entre les Parties et des acteurs non Parties qui déboucherait sur la production d'un ou de plusieurs rapports de synthèse et; une *phase de leadership* qui engagerait les Parties au plan politique à communiquer les conclusions de la phase technique, à mettre en lumière les possibilités, à mobiliser des actions ambitieuses et à encourager la coopération.

En ce qui concerne la phase technique :

- Les Parties pourraient examiner le *dialogue structuré entre experts* (DSE) en vertu de l'*examen de 2013-2015* pour d'éventuelles leçons tirées de l'expérience et pratiques exemplaires qui pourraient étayer les modalités relatives aux travaux techniques effectués au titre du bilan mondial.

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<sup>1</sup> [Voir le lien.](#) (en anglais)

<sup>2</sup> [Voir le lien.](#) (en anglais)

- L'organisation des travaux techniques au titre du bilan mondial selon un format de DSE devrait permettre un examen complet et détaillé des progrès collectifs accomplis en vue de l'atteinte de chaque élément du paragraphe 2.1 de l'Accord de Paris à l'égard de l'atténuation, de l'adaptation et des flux financiers.
- Cet examen exhaustif pourrait être organisé en trois axes de travail distincts et ciblés qui auraient chacun le mandat d'évaluer les progrès collectifs accomplis au titre d'un des éléments du paragraphe 2.1 : un axe d'atténuation, un axe d'adaptation et un axe financier englobant un sous-composant qui prend en compte les moyens de mise en œuvre et de soutien.
- L'échéancier précis de chaque axe de travail au cours de la phase technique devrait être souple et se fonder sur la disponibilité d'intrants clés, en particulier les derniers rapports du GIEC.
- Il serait utile que les travaux techniques effectués au titre du bilan mondial tiennent compte de mesures des acteurs non Parties aux progrès accomplis en vue de l'atteinte des objectifs du paragraphe 2.1.

En ce qui concerne la phase de leadership :

- Une mobilisation de haut niveau dans le cadre du bilan mondial sera importante pour que les Parties réaffirment leur engagement à atteindre collectivement l'objectif de l'Accord de Paris et ses buts à long terme, et à améliorer individuellement le niveau d'ambition. Cette phase pourrait également soutenir un élan global plus large pour s'attaquer au problème des changements climatiques en établissant des liens avec la nécessité d'agir hors du cadre de la CCNUCC dans des forums internationaux complémentaires.
- Il sera important à cette étape du bilan mondial de mobiliser des acteurs non Parties dans le but de renforcer l'ambition collective requise pour la réussite de la mise en œuvre de l'Accord de Paris.

En ce qui concerne le rôle de la CMA :

- Conformément à l'article 14 de l'Accord de Paris, la CMA effectuera le bilan mondial. Il conviendrait de s'interroger jusqu'à quel point la CMA pourrait être appuyée par d'autres organismes et initiatives du Secrétariat en vertu de la CCNUCC, ainsi que par d'autres organismes internationaux, par exemple à l'égard des éléments suivants :
  - Contribution d'intrants et d'analyses techniques, p. ex. rapports de synthèse sur l'effet combiné des CDN;
  - Organisation et/ou facilitation des axes techniques susmentionnés et de la phase de leadership de haut niveau;
  - Mobilisation d'acteurs tiers, par exemple par l'entremise d'initiatives comme le plan d'action mondial et la plateforme pour les communautés locales et les peuples autochtones.

### III. Intrants

De l'avis du Canada, entre le moment présent et 2018, il n'est probablement pas possible de finaliser des lignes directrices détaillées sur la portée totale des intrants spécifiques requis en vue du bilan mondial de 2023 et au-delà. Cela reflète la difficulté d'évaluer à l'heure actuelle quels renseignements seront disponibles en 2023 et durant le cycle à long terme du bilan mondial. De plus, le *cadre de transparence renforcé* fait actuellement l'objet de discussions parallèlement à la tenue du bilan mondial et ne sera pas finalisé avant 2018.

À la lumière de ce qui précède, il faudrait déterminer la portée totale des intrants de façon plus rapprochée de chaque bilan mondial subséquent, étant donné que la disponibilité des intrants peut varier au cours des cycles de cinq ans. Cependant, pour s'assurer que le bilan mondial continue systématiquement d'atteindre ses objectifs à long terme de façon solide et efficace, l'examen des intrants devrait prendre ce qui suit en considération :

- La nécessité du bilan mondial se fonde sur les meilleures données scientifiques disponibles, tout particulièrement les derniers rapports du GIEC<sup>3</sup>;
- L'importance de tirer profit des rapports produits par les Parties au niveau national en vertu de l'Accord de Paris et de la CCNUCC; et
- L'importance d'une analyse tierce faisant autorité provenant d'organismes intergouvernementaux reconnus et d'autres organismes internationaux.

### IV. Conclusion

Nous avons hâte de reprendre les discussions sur le bilan mondial lors de la conférence intersessionnelle de Bonn. De l'avis du Canada, il sera utile lors des discussions à Bonn de commencer à clarifier une voie constructive en vue de l'élaboration d'une orientation claire en 2018. Plus particulièrement, il sera utile de déterminer les éléments précis liés aux modalités et aux intrants du bilan mondial qui doivent être pris en considération dans l'élaboration d'une orientation en 2018.

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<sup>3</sup> À cet égard, le GIEC déploie déjà des efforts pour s'assurer que la publication de futurs rapports d'évaluation concorde avec le cycle à long terme du bilan mondial.

## **Submission by China on matters relating to the global stocktake referred to Article 14 of the Paris Agreement**

In accordance with paragraph 17 a-h of the conclusion of the Ad Hoc Working Group on the Paris Agreement on the second part of its first session (FCCC/APA/2016/L4), China would like to submit views on “Matters relating to the global stocktake referred to Article 14 of the Paris Agreement”. China’s submission in September 2016 also contains information related to these matters.

### **1. General Views on the Global Stocktake**

The Global stocktake (GST) is one of the key outcomes of the Paris Agreement. The GST is a significant mechanism to ensure the sustainability of the Agreement and to encourage Parties continuously increase their ambitious, and the GST is critical to show the collective progress achieved on enhancing the implementation of the Convention and the Agreement, as well as promoting low-carbon, climate-resilient and sustainable development.

Through promoting continuous, interactive, enhanced and learning-by-doing international cooperation, the GST could help reduce challenges and uncertainties faced by countries, especially developing countries, in social, economic and technological aspects, and therefore enhance the collective progress in combating climate change and achieve the purpose and long-term goals of the Convention and the Paris Agreement.

To play a substantive role, the GST should reflect the following four characteristics:

(1) **Comprehensive.** The GST should consider mitigation, adaptation, means of implementation and support in a comprehensive, holistic and balanced manner, and in the light of equity and the best available science.

(2) **Facilitative.** The GST should be conducted in a facilitative way. It should be nationally determined by the Parties to decide their following actions after the GST, including update, enhance their actions and support in accordance with the relevant provisions of this Agreement. The GST should focus on providing information.

(3) **Collective.** The GST should evaluate the “collective progress”, rather than individual progress. Thus it should focus on assessing the “collective progress” and the “overall gap”.

(4) **Positive.** The GST should not simply evaluate the quantitative gaps between ambitious and targets, and should avoid mutual accusation and blaming game. Instead, the GST should exchange best practices and identify difficulties, barriers, lessons learned from past experiences, especially international collaboration opportunities that can strengthen finance, technology and capacity building supports.

Meanwhile, the design and implementation of the GST should in accordance with the principles and provisions of the Convention and relevant provisions of the Paris Agreement, especially for the principle of common but differentiated responsibilities, while the GST should be in the context of climate equity, sustainable development and best available science. The design should also reflect that the GST is party-driven and be conducted in a balanced and transparent way.

## **2. Context and Linkages**

***(a) How to understand and assess collective progress towards achieving the purpose of the Paris Agreement and its long-term goals? How will this be done in a comprehensive and facilitative manner considering mitigation, adaptation and means of implementation and support, while in the light of equity and the best available science?***

The design of the GST is closely connected with its basic concepts, context and the principles it followed. Therefore, Parties should reach to a common understanding on the context of the GST prior to the discussion of the procedures of the GST.

“Collective progress” should not only be treated as a simple aggregation of efforts, nor a quantitative assessment of emission reduction gaps, but also cover a wider and more positive range of contents, including:

- (1) **Progress on transformation**, such as the global low-carbon transition progress (mitigation achievement, energy efficiency improvement and renewable energy development), the adaptation progress (adaptation actions and achievement), and the development in technology R&D and transfer, policy implementation, capacity improvement, as well as mobilization and provision of financial support and etc.;
- (2) **Progress on targets**, which includes two aspects. The first is the gaps between the overall committed targets of Parties and the global collective progress on mitigation, adaptation, financial, technical and capacity building support. The second is the gaps between the global collective progress on mitigation, adaptation, financial, technical and capacity building support and the purpose of the Agreement and its long-term goals;
- (3) **Good practices**, including best practices that can be learned and replicated, and potential cooperation areas and opportunities that can be strengthened.

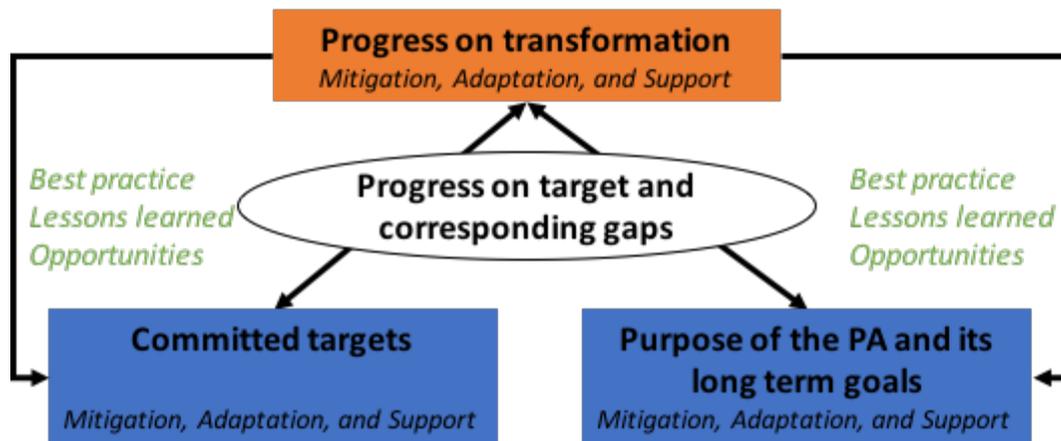


Figure 1: The context of “collective process”

The GST should assess the collective progress towards achieving the purpose of the Agreement and its long-term goals through exchanging transformation progress, best practices, and lessons learned, thereby facilitating potential cooperation and strengthening action. In the meantime, the GST should help to identify and overcome potential barriers related to implementation of the Paris Agreement, and further help developing countries with difficulties to overcome obstacles in order to enhance their actions.

To ensure the comprehensiveness of the GST, the time allocation and procedure arrangement of negotiation should consider mitigation, adaptation, means of implementation and support in a balanced way, in particular to ensure the linkage between activities and supports. Sustainability and equity should be reflected in all elements, such as synergies and trade-off between mitigation and sustainable development, and the support received by developing countries, etc.

***(b) How to increase understanding of the linkages between Article 14 and other articles of the Paris Agreement, which are directly or indirectly linked to the global stocktake (GST)?***

The GST is directly linked to Article 2, 3, 4, 7, 9, 10, 11 and 13. Article 2 indicates the purpose and principles of the Paris agreement. Article 4.1, 7.1, and 10.1 are the long-term goals of the Agreement, while Article 7.14, 9.6 and 10.6 identify the issues need to be addressed in the GST. Reports from the transparency mechanism that mentioned in Article 13 is one of the main sources of inputs. After the GST, Parties should follow relevant provisions of the Paris Agreement, especially Article 3, 4.4 and 4.5, 9.1, 10 and 11, to update their climate change actions and support in a nationally determined manner.

**3. Sources of input**

***(c) How to capture information relevant for assessing collective progress towards achieving the purpose of the Paris Agreement and its long-term goals from different sources of input in a comprehensive, manageable, and balanced manner***

**among all elements, including but not limited to, adaptation, mitigation, and means of implementation and support?**

The GST should distinguish the information source and need of inputs, which is, a question about what and where. The selected sources of input should be directly linked to the purpose and information needs of the GST. In this regards, before identifying the sources of inputs, the questions of information needs should be addressed first.

The information needs of the GST should maintain the balance between mitigation, adaptation, means of implementation and support. See details in Table 1.

Table 1 Information needs of the GST

	Adaptation	Mitigation	MOI and Support
Progress on Transformation	<ul style="list-style-type: none"> <li>• Adaptation efforts and actions;</li> <li>• Adequacy and effectiveness of adaptation;</li> <li>• Information on adaptation technologies and policies;</li> <li>• Barriers and challenges to implement adaptation actions;</li> </ul>	<ul style="list-style-type: none"> <li>• Information on GHG emission trends and the effects of emission reduction;</li> <li>• Information on examples of mitigation actions and programmes;</li> <li>• Information on technology development, low-carbon investment, consumption behavior, institutions and policies;</li> <li>• Information on challenges and barriers;</li> </ul>	<ul style="list-style-type: none"> <li>• Information related to finance, technology and capacity building support provided by developed countries and organizations to developing countries;</li> <li>• Information on the operation, performance and challenges of operating entities under the UNFCCC, such as the FM, SCF, AF, AC, WIM ExCom, TEC/CTCN, PCCB, etc.;</li> <li>• Information on operation, performance and challenges of GCF;</li> </ul>
Progress on Targets	<ul style="list-style-type: none"> <li>• Information on the collective progress and gaps towards achieving the global adaptation target;</li> <li>• Information on financial, technical, and capacity-building needs and gap;</li> </ul>	<ul style="list-style-type: none"> <li>• Information on the collective progress and gaps towards achieving the global warming target and the mitigation target;</li> <li>• Information on the needs and gaps of financial, technical and capacity building</li> </ul>	<ul style="list-style-type: none"> <li>• Information on the collective progress and gaps towards achieving the targets of finance, technology and capacity building supports;</li> <li>• Information on the gaps between support received by</li> </ul>

		support for mitigation;	developing countries and need for finance, technology and capacity-building;
Good Practices	<ul style="list-style-type: none"> <li>• Information on good practices and experiences from Parties and multilateral organizations;</li> <li>• Information on potential opportunities to enhance international collaboration on adaptation.</li> </ul>	<ul style="list-style-type: none"> <li>• Information on good practices and experiences from Parties and multilateral organizations;</li> <li>• Information on potential opportunities to enhance international collaboration on mitigation.</li> </ul>	<ul style="list-style-type: none"> <li>• Information on best practices, experiences and lessons learned;</li> <li>• Information on potential barriers and solutions, especially on international cooperation opportunities on climate finance and technology innovation.</li> </ul>

For the input of sources, in addition to the sources of inputs already identified in paragraph 99 of decision 1/CP.21, the following sources should also be considered:

- (1) Parties' submission on fulfilling information needs of the GST, including information on best practices, experiences and lessons learned.
- (2) National communications, biennial update reports from developing country Parties and biennial reports from developed country Parties, national inventories, reports on international consultation and analysis, international assessment and review, and other relevant reports from Parties and processes under the Convention;
- (3) Report of operating entities under the UNFCCC, such as the FM, SCF, AF, AC, WIM ExCom, TEC/CTCN, PCCB, etc. and GCF;
- (4) Other relevant reports from United Nations agencies, multilateral development agencies, and other international organization, etc. with the list to be further agreed by Parties.; and
- (5) Any other relevant information identified through consensus among Parties.

The list of sources of inputs should be relatively open, allowing the entrance of new information. However, certain criteria, such as scientific standards and agreed by Parties, should be followed when adding new sources of inputs in order to ensure the list is manageable.

#### 4. Modalities

***(d) What modalities will ensure that the GST is facilitative, open and inclusive but also efficient and effective? How will the information that is reported and communicated be processed?***

***(e) How will the CMA be assisted in conducting the GST? What bodies and processes are linked to the GST and in what way?***

***(f) What could be the most appropriate timeline for the GST? What could be its phases and streams, if any?***

The modality and process of the GST should be concise and pragmatic to ensure its effectiveness and efficiency as well as to encourage full participation of Parties, especially developing country parties.

The modality of the GST should be informed by existing experiences under the Convention, e.g. lessons learned from the technical examination process of raising ambition before 2020, lessons learned from the KP revisit, and lessons learned from the 2013-2015 review.

The modality of the GST should ensure the balance between adaptation, mitigation and means of implementation and support, be capable of learning from previous GSTs and building trust, and the different responsibility and roles of developed and developing country parties.

The GST could include two stages of work considering the different focus of work: the technical stage which include technical information collection and processing, and the political stage which focus on policy exchange and discussion. The output of technical information collection and processing can be used as the input and basis of policy exchange and discussion.

The GST should be conducted by the CMA, while ensuring full participation of Parties, especially of developing countries, and other stakeholders may also participate. Meanwhile, the GST process should establish a specialized cross-cutting group to address the linkages between action and support in a balanced manner. The institutional arrangements under the Convention such as the FM, SCF, AF, AC, WIM ExCom, TEC/CTCN, PCCB, etc. should play key roles. The Secretariat could provide logistical support for the implementation of the GST.

The overall timeframe of the GST should not be more than one year, and should depend on the modality of the GST and the timeframe of information acquisition.

## **5. Outcome/outputs**

***(g) How to ensure that the outcome of the GST would inform Parties in 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.***

***(h) What information will support this outcome?***

To maximizing the GST's influence on enhancing Parties' ambition, the GST should deliver what policy makers truly concern and provide broad, positive, and practical information, such as good practices and experiences that can be repeated, as well as incentive cooperation mechanisms to help fulfill any gaps. Meanwhile, developing countries rely on finance, technology and capacity building support to enhance their actions, therefore, information on needs of support and how to enhance support should be included. Simply quantifying the gaps between ambitions and targets could not enhance actions or ambitions.

The outputs of the GST could include:

- (1) Assess the collective progress on mitigation, adaptation, means of implementation and support, and identify the gaps between the collective progress and the committed targets, and between the collective progress and the purpose of this Agreement and its long-term goals;
- (2) Summarize countries' experiences and lessons learned of climate change actions and policy practices in mitigation, adaptation and support, then identify opportunities and challenges;
- (3) Advice on strengthening relevant mechanisms under the Convention and the Paris Agreement as well as on enhancing international cooperation.

The outputs of the GST are closely connected with the needs and sources of inputs. The identification of information needs should reflect the output requirements of the GST.

The outcomes of the GST should serve as a reference for Parties to identify their follow-up actions and support and to strengthen international cooperation in addressing climate change. The final outcome of the GST should be agreed by all Parties. Any suggestions should be approved by the conference of Parties to the Paris Agreement, and reflect Parties' position and opinions in a comprehensive and balanced manner. Parties shall, in a nationally determined manner, take actions based on the outcomes of the GST.

In particular, it should be noted that the post 2020 global stocktake is based on the level of pre-2020 action. In this regard, the pre-2020 ambition level is of great importance.

## **Submission by the Federal Democratic Republic of Ethiopia on behalf of the Least Developed Countries Group on Agenda item 6, Global Stocktake**

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Ethiopia on behalf of the Least Developed Countries Group (LDC Group) presents this submission in order to advance the discussions under the APA on Agenda item 6 relating to Article 14 of the Paris Agreement, known as the Global Stocktake.

We thank the Co-Facilitators for preparing the informal note, including some useful guidance. Our submission is responding to the questions and thematic issues posed in the Report of the Ad Hoc Working Group on the Paris Agreement on the second part of its first session

### **Linkages and context:**

**(a) How to understand and assess collective progress towards achieving the purpose of the Paris Agreement and its long-term goals? How will this be done 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?**

LDCs believe that:

As set out in Article 14, the global stocktake (GST) must take stock of implementation to assess collective progress towards achieving the purpose of the Paris Agreement, as set out in Article 2, and its long term goals.

To gain a clear picture of collective progress towards implementation, the GST must be broad in scope/take a holistic approach, encompassing all elements of the Paris Agreement. Therefore, all provisions of the Paris Agreement must be included.

The results of the GST shall inform Parties of the needs and opportunities so as to represent a progress over time, as defined in Article 2 and to enhance their ambition in the context of Article 4.11 and to enhance the efforts of Parties to improve their contribution to the Paris Agreement in its entirety.

In accordance with Article 14, the focus should be on taking stock of implementation to assess collective progress towards achieving the overall purpose of Paris Agreement as defined in Article 2. Therefore, it should aim to enhance action towards:

- Implementing of the Convention, including its objectives
- Achieving the temperature goal
- Addressing impacts and resilience - adaptation and loss and damage
- Building towards low-GHG emissions development
- Enhancing financial support to meet the needs of developing countries,
- Strengthening capacity building, technology development and transfer, education, training, public participation and public access to information

The GST should be implemented to reflect equity, and the principle of common but differentiated responsibility and respective capabilities, in the light of different national circumstances. The GST should provide relevant information to determine whether efforts to implement the Paris Agreement are ambitious and fair, reflecting the greater capacity and responsibility of many countries.

The GST should be pivotal tool in achieving the long term goals of the Paris Agreement. Such goals include:

- The temperature goal (Article 2) and Article 4.1
- Achieving a collective mobilisation goal in relation to climate finance as reflected in decision 1/CP21
- Fully realising technology development and transfer (A10.1)

- The adaptation goal in Article 7.1
- Averting, minimizing and addressing loss and damage (Article 8.1)

#### **Principles/context for the GST:**

**The principles of the GST should reflect the overall principles of the Agreement. As such it must be:**

- done in a comprehensive and facilitative manner as well as in light of equity and best available science;
- Party driven;
- Transparent;
- done in a balanced and holistic manner;
- able to give a clear and accurate picture of collective progress; and
- Ensuring gender balance in all functional elements of the Paris Agreement.

#### **Work method**

With respect to advancing negotiations, working under Agenda item 6 should be coordinated with other agenda items given GST will tie them all together. It should seek opportunities for coherent discussions, synchronising the work across interlinked areas. This would include coordination with transparency and compliance discussions, as well as NDCs and adaptation communications.

To advance this work, it would be useful to hold a pre-session workshop before the 2018 May session of the Subsidiary Bodies as a means of facilitating discussion on textual proposals that link with other work under the APA.

#### **(b) How to increase understanding of the linkages between Article 14 and other articles of the Paris Agreement, which are directly or indirectly linked to the global stocktake (GST)?**

LDCs believe that the GST is a review of all elements of the Paris Agreement. Therefore, the GST should be an assessment of the action elements in all provisions of the Agreement. The GST should therefore take stock of each of these actions.

#### **(c) How to capture information relevant for assessing collective progress towards achieving the purpose of the Paris Agreement and its long-term goals from different sources of input in a comprehensive, manageable, and balanced manner among all elements, including but not limited to, adaptation, mitigation, and means of implementation and support?**

As indicated by paragraph 99 of 1/CP.21 sources of input include:

- The overall effect of NDCs, including mobilisation and provision of support.
- The latest reports of the IPCC
- Reports of the Subsidiary Bodies

Others sources of input should include:

- inputs from Technical ER and multilateral consideration of progress under PA
- national communications under the Convention
- biennial reports of Parties
- reports from UN bodies (e.g. UNEP gap reports)
- information from regional groups and institutions
- information from civil society agencies

- reports from constituted bodies under the Convention and the Paris Agreement, such as the Adaptation Committee, the CTCN, the Warsaw Mechanism on Loss and Damage, the Least Developed Country Expert Group, etc.
- Synthesis report by Secretariat on aggregate effect of NDCs undertaken after the review in 2019

LDCs consider that *sources* of input are distinct from the *inputs* themselves. A range of inputs (information from the sources) will be provided from the sources identified and these will evolve over time with the Agreement. The holistic nature of GST means the scope of inputs should not be constrained and a durable structure should be developed that is broad and fluid enough to give a true assessment of collective progress

#### **Capturing of Information:**

LDCs believe that a common format to capture the information is required. This will be based on all elements of the Agreement. The guidance for reporting should be robust and fit-for-purpose with outputs based on good, reliable, complete, comparable data.

#### **(d) What modalities will ensure that the GST will be facilitative, open and inclusive but also efficient and effective? How will the information that is reported and communicated be processed?**

The modalities for carrying out the GST will go through a series of phases:

##### **1. Call for Inputs**

There should be a general call for inputs from Parties, constituted bodies under the Convention and the Paris Agreement, UN Agencies, IPCC and other scientific bodies and civil society organisation

##### **2. Compilation and synthesis**

- The information should be collated by the Secretariat into an agreed format.
- The Secretariat should be invited to undertake a synthesis of the information
- **3. Technical review** A technical review committee should be established to review the information
- The CMA should conduct a technical expert meeting to review the information provided and to make recommendations for appropriate responses

##### **4. Facilitative Progression**

Once all the inputs have been reviewed, the CMA should establish a high level process to make recommendations to further enhance action under the Agreement.

#### **(e) How will the CMA be assisted in conducting the GST? What bodies and processes are linked to the GST and in what way?**

The CMA will oversee the overall conduct of the GST. As such it will formally call for inputs from identified sources inside and outside the UNFCCC to assist it by informing the GST.

#### **(f) What could be the most appropriate timeline for the GST? What could be its phases and streams, if any?**

As indicated in Article 14.2, the first GST will be undertaken in 2023 and every 5 years thereafter, unless otherwise decided. The timeline of phases for the first GST should include:

1. Call for inputs at COP22, with a deadline for the communication of inputs by September 2023
2. Compilation and synthesis of inputs by the Secretariat ahead of the CMA session in 2023
3. Technical review during the CMA session in 2023
4. Facilitative progression through a high level process during the CMA session in 2023

**(g) How to ensure that the outcome of the GST would inform Parties in 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?**

LDCs believe that experience from the Structured Expert Dialogues can be improved upon and provide a basis for how the GST could be conducted, noting that adjustments will be required given the GST's focus on implementation.

LDCs believe that the outcomes of GST should:

- Take stock of implementation to assess collective action;
- be an evaluation against equity and best available science, in a balanced manner
- identify opportunities of enhancing cooperation;
- indicate whether collective actions are on track to implement the Paris Agreement to achieve the purpose of the Agreement and its long term goals;
- identify gaps in terms of action and support;
- encourage parties to raise ambition in all areas with enhanced NDCs; and
- be communicated in a clear and straightforward way which makes taking action to fill any gaps identified under the global stocktake easier.

**(h) What information will support this outcome?**

LDCs believe that the information gained from the inputs from various stakeholders as indicated above shall provide the necessary information. It is important that the reporting framework covers all elements of the Paris Agreement.

## SUBMISSION BY GUATEMALA ON BEHALF OF THE AILAC GROUP OF COUNTRIES - CHILE, COLOMBIA, COSTA RICA, HONDURAS, GUATEMALA, PANAMA, PARAGUAY AND PERU

### APA Agenda Item 6: Matters relating to the GST referred to in Article 14 of the Paris Agreement

1. Following the invitation to Parties, AILAC is pleased to present its views on the (a) identification of the sources of input for the GST (GST); and (b) development of the modalities of the GST”, bearing in mind the guiding questions that for this purpose, the APA has put forward.
2. In addressing these questions, AILAC would like to present the following views, which aim at further reflecting and elaborating on the elements expressed in its first submission under this Agenda Item<sup>1</sup>.

### Rationale of the GST

3. AILAC envisages the GST to be a process rather than a single moment. Conceptualizing the GST as a process that enables the integration of its technical and political dimensions. The outcome of the GST should enable a **general understanding of the global state of play** in all areas of climate action but **most importantly**, the GST must **generate the momentum to inform the update and ensure the progression of ambition of Parties’ climate action and contributions**.
4. The GST should be understood as a political process with a strong scientific basis, which will encompass separate, yet interlinked assessment milestones with a focus on the aggregate progress in each of the three main elements of climate action, i.e. mitigation, adaptation and means of implementation.

### Linkages and context

- (a) *How to understand and assess collective progress towards achieving the purpose of the Paris Agreement and its long-term goals? How will this be done 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?*
5. **Collective progress** should be understood building on information that enable aggregate understanding of progress towards the long-term vision agreed under the Paris Agreement through the following **benchmark targets**:

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<sup>1</sup> Submission of Costa Rica on behalf of AILAC, dated September 30th, 2016, available at [http://www4.unfccc.int/Submissions/Lists/OSPSubmissionUpload/233\\_282\\_131197470783548982-160929%20AILAC%20Submission%20Global%20Stocktake%202016.pdf](http://www4.unfccc.int/Submissions/Lists/OSPSubmissionUpload/233_282_131197470783548982-160929%20AILAC%20Submission%20Global%20Stocktake%202016.pdf).

- i. For **mitigation, Article 2 paragraph 1 (a) and Article 4 paragraph 1** – progress towards holding the increase in the global average temperature to well below 2°C and pursuing efforts to limit it to 1.5°C; reaching global peaking of GHG emissions as soon as possible and balancing between emissions by sources and removals by sinks of GHG in the second half of this century.
  - ii. For **adaptation, Article 2 paragraph 1 (b) and Article 7 paragraph 1** – progress towards increasing the ability to adapt to the adverse impacts of climate change and foster climate resilience and low greenhouse gas emissions development, in a manner that does not threaten food production; as well as enhancing adaptive capacity, strengthening resilience and reducing vulnerability to climate change, with a view to contributing to sustainable development and ensuring an adequate adaptation response in the context of the temperature goal referred to in Article 2 of the Paris Agreement,
  - iii. For **means of implementation, Article 2 paragraph 1 (c)** – progress towards making finance flows consistent with a pathway towards low-greenhouse gas emissions and climate-resilient development.
6. The definition of the sources of input, the modalities and the outcomes for the GST process are intrinsically linked, and must be tailored bearing in mind the benchmarks or targets against which collective progress is to be tracked on each of the three elements of climate action.
7. AILAC further elaborates on the sources of input below, however, as a general concept the group envisages the modalities for the GST to contemplate a technical phase that look to aggregate this information so as to enable better understanding of collective progress towards the Agreement’s long – term goals. This process should be underpinned, as indicated under Article 14, by the best available science, which in AILAC’s view comes from the IPCC Assessment Reports and Special Reports. These, as has been advised by the SBSTA<sup>2</sup> and acknowledged by the IPCC itself<sup>3</sup>, should take into account the needs of the GST in its scoping.
8. In this light, better understanding of “collective progress towards achieving the purpose of the Paris Agreement and its long-term goals” would be particularly helped by the formulation and publication by Parties of their respective Long-Term Low-Emission and

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<sup>2</sup> See Report of SBSTA 45, Agenda Item 8(b) “Advice on how the assessments of the Intergovernmental Panel on Climate Change can inform the GST referred to in Article 14 of the Paris Agreement”, paragraphs 47 – 56 at <http://unfccc.int/resource/docs/2016/sbsta/eng/04.pdf>.

<sup>3</sup> See IPCC decisions IPCC/XLIII-6, IPCC/XLIII-7 and IPCC/XLIII-8, available at [https://www.ipcc.ch/meetings/session43/p43\\_decisions.pdf](https://www.ipcc.ch/meetings/session43/p43_decisions.pdf).

Resilient Development Strategies (LT-LEDS), following the invitation under Article 4 Paragraph 19 of the Paris Agreement<sup>4</sup>. LT-LEDS are a critical element for the understanding of progress towards the targets set in the Agreement as they provide concrete milestones against which progress towards the long –term transformation envisaged under Paris can be gauged, as well as better informing the domestic preparation required for the implementation of NDCs in the context of achieving the LT-LEDS. It is important to consider Parties’ implementation from a planning approach, to ensure that they are conceived under a logic that delivers in the long term the transformation agreed in Paris.

*(b) How to increase understanding of the linkages between Article 14 and other articles of the Paris Agreement, which are directly or indirectly linked to the GST?*

9. The linkages between Article 14 and other Articles of the Paris Agreement should be conceived bearing in mind that the GST articulates the dynamic element of the ambition mechanism laid out in the Paris architecture. It tracks the collective progress in implementation of the Agreement in light of its long term goals and aims at taking that information to catalyse the ambition of subsequent contributions and actions on mitigation, adaptation and means of implementation
10. The Global Stocktake should be a process that tangibly reflects the functional linkages between mitigation and adaptation action and means for their implementation. The assessment of collective progress towards the long – term goal temperature goal as well as the long term mitigation goals, is in turn a benchmark for the expected impacts in terms of vulnerability and adaptation requirements. Progress, or lack thereof, with regards to the long term – goals should in turn inform requirements in terms of the means of implementation, so as to meet the required level of ambition to achieve the Agreements purpose.
11. In this regard, three key variables are critical for the GST to fulfil this mandated purpose as set out under Article 14:
  - a. **Linkage to the enhanced transparency framework** established under Article 13 of the Paris Agreement, in what regards transparency of action – for both mitigation and adaptation– as well as transparency of support – which applies to means of implementation. In this light, it is important that the discussions on the enhanced transparency framework bear in mind the information needs under the GST to ensure coherence, consistency and effectiveness in the outputs of this transparency framework that are to feed into the GST.

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<sup>4</sup> “All Parties should strive to formulate and communicate long-term low greenhouse gas emission development strategies, mindful of Article 2 taking into account their common but differentiated responsibilities and respective capabilities, in the light of different national circumstances.”

- b. **Linkages to enhanced mitigation and adaptation action.** Following the purpose set out under Article 14 paragraph 3 that “the outcome of the GST shall inform Parties in updating and enhancing, in a nationally determined manner, their actions and support”, it is important that its inputs and modalities are crafted in a manner that operationalize this purpose as established under the relevant provisions of the Agreement – most notably Article 4 Paragraph 9, and Article 7 Paragraph 14 (b).

In this context, AILAC believes that it is important to advance the consideration of common timeframes for mitigation contributions, in accordance to the mandate contained in Article 4 Paragraph 10, to better enable the cycles of mitigation contributions and their updating, to be informed by the GST as to enhance ambition overtime to achieve the Agreement’s purpose and long-term goals.

- c. **Linkages to enhanced means of implementation.** Articles 9, 10 and 11 contain the provisions regarding the three components of the means of implementation while acknowledging the long-term goals set in Article 2 of the Paris Agreement.

Article 10, paragraph 1, reiterates the shared long-term vision of Parties regarding technology development and transfer as well as Article 11, paragraphs 1 and 4, acknowledges the need to enhance the capacity and ability of developing countries to take effective climate change action and to implement the Paris Agreement.

Therefore, according to Article 14, paragraph 1, these should be considered in a comprehensive and facilitative manner under the GST. Concrete progress milestones with regards to means of implementation should be established at a national level within the context of the LT-LEDS, which could in turn inform the determination of aggregate progress as part of the GST.

## Sources of input

*(c) How to capture information relevant for assessing collective progress towards achieving the purpose of the Paris Agreement and its long-term goals from different sources of input in a comprehensive, manageable, and balanced manner among all elements, including but not limited to, adaptation, mitigation, and means of implementation and support?*

12. Further to the elements reflected in AILAC’s first submission under this agenda item, the group is of the view that the products of the **IPCC assessment cycles will be key inputs and will provide the best available scientific knowledge**, including guidance through summaries for policy makers with conclusions and recommendations that reflect an assessment of the status and trends with regards to the three variables related to the long term mitigation targets, as well as recommendations on the mitigation ambition required to meet these

targets. AILAC also welcomes efforts by the IPCC to ensure that future publications are ever more relevant to the UNFCCC processes, including the GST, and looks forward to incorporating new scientific and technical perspectives on the matter into future GST-related work. The IPCC publications, including the Assessment Reports, should enable clear understanding on:

- (i) Collective Progress towards the long-term temperature goal;
- (ii) Assessment of peaking trends, both proposed and implemented, in accordance with NDCs;
- (iii) Progress towards balance between emissions and removals and projections, towards the achievement of net zero by the end of the century.

13. On adaptation, the IPCC can provide information on the impacts and vulnerability in light of the global emission pathways. This input can provide insight into progress towards an adequate adaptation response in the context of the temperature goal referred to in Article 2 of the Paris Agreement, also bearing in mind the mandate for the GST with regards to adaptation under Paragraph 14 (d) of Article 7.
14. As stated above, it is of critical importance that the process under the Paris Agreement urges Parties to advance with urgency in the preparation of their Long Term Low Emission and Resilient Development Strategies. These are a critical benchmark for both the assessment of collective progress toward the Agreements long – term goals and to better inform the preparation of NDCs in the near term, as well as increase the understanding of the overall level of ambition that these reflect.

*Inputs regarding mitigation:*

15. AILAC considers that the **primary source of input for the collective assessment of progress towards the long – term goals on mitigation** set out under Article 2 paragraph 1 (a) and Article 4 paragraph 1 of the Paris Agreement is the enhanced transparency framework and the information it will generate on progress in the implementation of Nationally Determined Contributions, including the following inputs:
  - i. National GHG inventories and their reports.
  - ii. Nationally Determined Contributions, including quantitative reporting of progress made towards the achievement of emission reduction targets/policies under NDCs
  - iii. A synthesis report prepared by the Secretariat on the outputs from the technical review and the multilateral consideration of progress processes set out under Article 13.
  - iv. Summaries of GHG emissions and emissions trends of all Parties elaborated by the Secretariat biennially, on the basis of national GHG inventories and biennial communications

16. These inputs should be considered by the Secretariat so as to produce a report with the aim of assessing progress towards the global goals on mitigation. This report shall be built through modalities that ensure that it is expert based. This consolidated input will feed into the mitigation assessment track of the GST.
17. The **Synthesis Report**<sup>5</sup> to be prepared by the Secretariat so as to **reflect the “overall effect of the nationally determined contributions communicated by Parties”** as required by Paragraph 99 (a) (i) of Decision 1/CP.21, should reflect the aggregate level of ambition of any round of subsequent NDCs as they are communicated, ensuring that it extends the scope of analysis beyond that of the previous Synthesis Reports as enabled by improving information, reporting, and ambition over time.
18. This report will constitute an important benchmark of reference to assess collective progress towards the Agreements purpose and long-term goals when considered in conjunction with the outputs from the enhanced transparency framework, which will refer more specifically to actual implementation. When considered together, these two sources of information will allow for an understanding not only of the collective level of ambition that Parties are setting for themselves, but if they are actually meeting it. To this end, AILAC considers that the Secretariat should be given a mandate to regularly produce such a report, and make efforts to link the analytical efforts of such reports with the latest IPCC-published benchmarks and techniques, improving the analytical and scientific background that inform future NDCs.

#### *Inputs regarding adaptation*

19. **Adaptation** is an essential part of the ambition mechanism of the Paris Agreement. For AILAC, an **input** for the collective assessment of progress towards the global goal on adaptation set out under Article 2 and Article 7 Paragraph 1 of the Paris Agreement, and as required under Article 7 Paragraphs 14 (c) and (d), are the IPCC reports and also the **Enhanced Transparency Framework and the information it generates**. In terms of relevant inputs for the recognition of adaptation actions on behalf of developing countries, as required by Article 7 Paragraph 14 (a)<sup>6</sup> the **National Communications** should continue being the reporting vehicle Parties use to report the adaptation measures they have advanced.

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<sup>5</sup> For the effects of the 2023 GST, the Secretariat would produce a report on the NDCs communicated in 2020, it would be due in 2021. The outputs of the 2023 GST would inform the preparation of the NDCs to be presented in 2025. The next aggregate report would be due in 2026 and considered in 2028, and so on.

<sup>6</sup> For further views on the inputs for the adaptation component of the Global Stocktake, refer to AILAC's submission on APA Agenda item 4 on “Further guidance in relation to the adaptation communication, including, inter alia, as a component of nationally determined contributions, referred to in Article 7, paragraphs 10 and 11, of the Paris Agreement” available at [http://www4.unfccc.int/Submissions/Lists/OSPSubmissionUpload/233\\_322\\_131363263686925851-170410%20AILAC%20submission%20APA%20item%204%20Adaptation%20Communication%202017.pdf](http://www4.unfccc.int/Submissions/Lists/OSPSubmissionUpload/233_322_131363263686925851-170410%20AILAC%20submission%20APA%20item%204%20Adaptation%20Communication%202017.pdf)

20. National Communications would be the source of input for information on the adaptation efforts that Parties wish to be recognized, Parties' reports on the effectiveness of adaptation actions and their respective progress towards the global goal on adaptation. This information would be compiled by the Secretariat and made available as an input for the GST.
21. So as to fulfil the ultimate purpose of the GST of **informing the update of commitments and enhancing Parties' implementation of adaptation action** and support for adaptation, as required under Article 7 Paragraph 14 (b), the **adaptation communication** is the **enabling input** for the GST process to provide guidance on how to enhance further adaptation action based on the nationally determined needs, priorities, and plans submitted by the Parties in light of mitigation trajectories.
22. As such, the manner in which the adaptation communication is understood and constructed by Parties is critical. The adaptation communication must be as clear as possible allowing for an appropriate identification of Parties' adaptation priorities, plans and support needs.
23. The Secretariat would compile and synthesize the forward - looking component of the adaptation communication as reflected in its different reporting vehicles. This compilation and synthesis would then be an input for the Adaptation Committee (based on the mandate set out in decision 1/CP.16 paragraph 20) to provide guidance to Parties by, *interalia*, identifying potential trends and opportunities to enhance adaptation action. This consideration would serve as further input for the GST, as required by paragraph 14 (b) of Article 7 of the Paris Agreement.

*Inputs regarding means of implementation.*

24. There are two aspects to be considered with regards to the sources of input on means of implementation under the GST:
  - a. Information on support mobilized and provided, which is communicated by developed country Parties and other Parties that choose to do so,
  - b. Information of required and received support, communicated by developing country Parties.
25. As such, specific inputs for this assessment track under the GST should include **outputs from the enhanced framework on support including:**
  - i. Information on financial, technology transfer and capacity building support provided to developing countries by developed countries and other Parties that provide support, bearing in mind that capacities for reporting on support provided by developing countries have to be strengthened.

- ii. Information on financial, technology transfer and capacity building support needed and received by developing countries, communicated through, *inter alia*, the conditional component of NDCs and the adaptation communication, as well as the information submitted by developing countries under the enhanced transparency framework.
26. In terms of adequacy, an important instrument for the GST to enable enhanced ambition on mitigation action is through the assessment of the support provided for implementing the conditional component of NDCs communicated by Parties. Among the results of this assessment track under the GST, recommendations for the mobilization of support towards this purpose, is a potential source of untapped ambition.
27. In a similar manner, so as to assess the manner in which such flows are enabling enhanced action on adaptation, in accordance to Article 7 paragraph 14 (c) which establishes that the GST shall “review the adequacy and effectiveness of adaptation and support provided for adaptation”, the GST should look at information on the costs of priorities and needs identified in the adaptation communication in accordance with Article 7 paragraphs 10 and 11 of the Paris Agreement.
28. To this end, information derived from developing country reports on support received for specific goals and needs set out by the Parties in their NDCs and any of the relevant vehicles for the adaptation communication (NDC, NAP or National Communication), are an important input towards the assessment of adequacy of support.
29. Since the GST has a collective approach, there is a need to have modalities that allow for the inputs from the transparency framework on support provided and received to be aggregated. This should be taken into account when defining the modalities for biennial communications and other sources of information resulting from the implementation of the commitment under Paragraphs 5 and 7 of Article 9 of the Paris Agreement. Building on these, the Standing Committee on Finance may elaborate a report that captures an aggregate perspective on support provided and received from an adequacy standpoint, bearing in mind paragraph 6 of Article 9 of the Paris Agreement.
30. Regarding technology development and transfer and capacity building, based on the fact that the Agreement does not contemplate a specific long term goal for these components of the means of implementation, it is important that the CMA requests the PCCB and the Technology Mechanism to develop specific outputs that can be considered under the GST bearing in mind its overall purpose of informing the updating of contributions and actions under the Agreement. As stated previously, AILAC expects LT-LEDS developed by Parties to provide valuable input into this work.

## Modalities

*(d) What modalities will ensure that the GST will be facilitative, open and inclusive but also efficient and effective? How will the information that is reported and communicated be processed?*

*(e) How will the CMA be assisted in conducting the GST? What bodies and processes are linked to the GST and in what way?*

*(f) What could be the most appropriate timeline for the GST? What could be its phases and streams, if any?*

31. Conceiving the GST as a **process** with a **technical and a political phase** allows for it to drive the ambition mechanism and inform the cycles of contributions on the basis of a strong scientific background, while at the same time acknowledging that despite the fact that science has been consistent in its call for greater ambition, action by Parties' in this regard is most likely to be driven by political momentum similar to that that was observed in the lead up to Paris in 2015.
32. The GST should be developed over the course of a year, to give enough time to prepare technical and scientific inputs and ideally also to seek inputs and share information with non-state actors.
33. AILAC believes that inputs from Non- State Actors is valuable to achieve a comprehensive understanding of the status of collective progress towards the Agreement's long –term goals, and it being instrumental towards informing the ambition of subsequent contributions, actions and mobilization of support. It is important that inputs from non – state actors, in particular those from accredited observers to the UNFCCC come in a timely manner so that they can be considered by Parties in conjunction with other technical inputs.
34. On that year, the CMA shall hold the **High Level Event (HLE) with a focus on the GST** to consider the conclusions from the inputs formulated during the technical phase. In that consideration, the HLE may complement these and endorse them, as appropriate, but most importantly capturing the political commitment to take the findings of the technical phase of the GST and using it to enhance the ambition of the subsequent round of contributions, actions and support.

## Outcome/outputs

*(g) How to ensure that the outcome of the GST would inform Parties in 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?*

*(h) What information will support this outcome?*

35. The **outcome of the GST**, should be brought forward for the consideration and endorsement of the CMA, to be captured in a **Decision on the stocktake** of the collective progress towards the achievement of the Agreement's purpose and long-term goals, reflecting **political commitment for increasing ambition**.
  
36. This **decision** must be the **landmark proceeding for that years' CMA** that enables the renewal of the political commitment of Parties. All of the information considered in the course of the GST process will be publically shared and available for the use by Parties and the general public through the UNFCCC web site.

AILAC looks forward to working with our partners so as to advance in common understandings of the elements that need to be addressed to fulfil the APA's mandate of identifying the sources of input and modalities for the GST, so that it effectively articulates the ambition mechanism under the Paris Agreement.

**LMDC SUBMISSION ON**  
**“MATTERS RELATING TO THE GLOBAL STOCKTAKE REFERRED TO IN ARTICLE 14**  
**OF THE PARIS AGREEMENT”**

India is making this submission on behalf of the Like-Minded Developing Countries (LMDC). We welcome this opportunity to provide our views on this subject matter, pursuant to the invitation of the APA for Parties to submit their views, by 30 April 2017, on APA 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; and (b) Development of the modalities of the global stocktake”.

**1. General Comments**

The LMDC's understanding of the purpose, scope, process and nature of the Global Stocktake (GST) is based fully on Article 14 of the Paris Agreement.

In this context, based on Article 14 of the Paris Agreement, the GST is:

- a periodic stocktaking of the implementation of the PA, to be undertaken by the Conference of the Parties serving as the Meeting of the Parties to the Paris Agreement (CMA), every five years beginning in 2023, unless the CMA decides otherwise
- a collective assessment of the progress made for achieving the purpose, and long-term goals of the Agreement (as identified under Articles 2, 4.1, 7.1, 9.1, 10.1 and 11.1 of the PA and paragraph 53 of decision 1/CP.21)

As such, the GST should be undertaken by the CMA:

- in a comprehensive and facilitative manner,
- considering mitigation, adaptation and the means of implementation and support, in the light of equity and the best available science

The outcome of the GST is that it would inform Parties in updating and enhancing:

- their actions and support, in a nationally determined manner, in accordance with relevant provisions of the Paris Agreement (i.e. Articles 2, 3, 4.4, 4.5, 7, 9.1, 10 and 11)
- international cooperation for climate action by enhancing the implementation of the Convention through the Paris Agreement.

**2. Context of GST (to respond Question (b) in the APA conclusion)**

The context for the GST is based on relevant provisions of the Paris Agreement.

Articles 2 and 3 of the Paris Agreement together provide the overall context under which the GST will take place. This overall context is composed of:

- (a) the whole range of climate actions on mitigation, adaptation, provision of the means of implementation, and transparency that Parties undertake under the Paris Agreement to enhance the implementation of the Convention;
- (b) the extent to which these actions collectively lead to the achievement of the objective of the Convention and the long-term goals identified in its Paris Agreement;
- (c) the reflection and operationalization of the principles of equity and common but differentiated responsibilities through the effective implementation of the differentiated obligations of developed and developing country Parties under the Paris Agreement; and;
- (d) the extent to which developed countries take the lead in reducing their emissions and providing support to developing countries, and developing countries concentrate on enhancing their own efforts, in the context of sustainable development and poverty eradication, enabled and supported by finance, technology development and transfer, and capacity building from developed countries.

Additionally, the following provisions of the Paris Agreement are important to note and reflect because they form the specific policy context in relation to the implementation of the Paris Agreement under which the GST's modalities should be further defined:

- Article 4.9 – Article 4.9 indicates that “Parties shall be informed by the outcome of the GST”, that is, the outcome of the GST informs the Parties and it is then up to the Parties individually, on the basis of nationally-determined nature, to determine how the GST's outcome would then inform their future efforts and cooperation on climate change. The GST outcome itself, under Article 4.9, does not directly inform Parties' individual subsequent NDCs.
- Article 7.14 – the GST shall take into account the implementation, adequacy, and effectiveness of adaptation efforts by developing country Parties; as well as the support provided for adaptation by the developed country Parties; in line with the progress made on achieving the global adaptation goal.
- Article 9.6 – the GST shall take into account the information provided by developed country Parties on efforts related to climate finance.
- Article 10.6 – the GST shall be guided by the available information on support provided for technology development and transfer by developed countries to developing countries; aiming to provide a balance on such support for both mitigation and adaptation.
- Article 13 – the GST will be informed, as appropriate, by the reports under the enhanced transparency framework of the Paris Agreement, which will not only be about tracking the progress on Parties' actions, but also take into account the support provided by the developed countries and received by the developing countries for finance, technology development and transfer, and capacity building, for both mitigation and adaptation.

## **2. Scope of GST (to respond Question (a) in the APA conclusion)**

The scope of the GST emanates from Articles 2 and 3 of the PA. Due to its overall context as defined by

Articles 2 and 3 of the Paris Agreement, and its specific policy context under the relevant Articles identified above, the GST's scope must therefore be comprehensive in nature and cover all the elements of climate change action, i.e. mitigation, adaptation, and support by developed countries to developing countries (finance, technology development and transfer and capacity building).

Ambition and progression ought to be reflected in all the aforementioned elements, guided by the principles of equity and CBDR, and reflecting a differentiated arrangement for developing and developed countries that takes into account, for example, the context of special national circumstances and development imperatives of developing countries; and the level of financial, technological, and capacity building support to be provided by developed countries to developing countries.

Moreover, as GST is linked to the long term goals of the PA (i.e. Article 2 on the purpose of the Paris Agreement, Article 4.1 on goal on mitigation, Article 7.1 on global goal adaptation, Article 9.1 and paragraph 53 of decision 1/CP.21 on collective targets on finance by developed countries, Article 10.1 on global long-term goal on technology and Article 11 on general vision on capacity-building), it shall take stock of the collective overall progress in adaptation, mitigation, and the provision of finance, technology and capacity-building by developed to developing countries, the implementation of response measures, in the context of sustainable development and poverty eradication (by the developing countries). All the elements of the Paris Agreement must be given equal importance and weight to ensure the comprehensiveness and balance of the GST process.

Developing countries' enhancement of efforts towards climate action, as enabled and supported by finance, technology development and transfer and capacity building from developed countries, based on the operationalization of equity and CBDR, is also an integral part of the vision and objective with respect to the implementation of the PA.

### **3. Modalities for GST (to respond Question (d), (e) and (f) in the APA conclusion)**

The modalities of the GST should be focused on creating an open and transparent, inclusive, balanced and Party-driven multilateral process, and building trust between Parties.

Furthermore, the design and operation of the GST should ensure full participation of all Parties, especially developing country Parties. In this regard, capacity building support should be provided to developing countries for their effective participation in the GST.

The GST should be a overall assessment of the progress made by the Parties collectively, rather than about collecting individual assessments of progress. Hence, the focus of the GST is to take stock of the overall implementation and global progress that have been made in implementing the PA. The GST looks at what collectively has been done by the Parties, rather than at what has to be individually done by the Parties in the future. That is, the GST is not an ex-ante assessment of those actions to be implemented in the future.

The purpose is to enhance the implementation of the mother treaty i.e. the UNFCCC. The modalities must therefore operationalize equity and CBDR by building on and drawing from the experience from the arrangements and events related to the assessment of overall progress under the Convention and Kyoto Protocol, in particular the arrangements referred to in Articles 4.2(d), 7.2(e) and 10.2(a) of the Convention. Furthermore, lessons could also be drawn from the way in which reviews of the implementation of the Convention and its Kyoto Protocol were done.

The GST should not be confined to the assessment of collective progress on mitigation alone. It should also take into account the adaptation efforts of developing countries in terms of Article 7.14. A review of the overall progress made in achieving the global goal on adaptation should include a review of the support provided for adaptation and take into account the relevant information provided by developed countries on their efforts related to provide climate finance and support on technology development and transfer and capacity building to developing countries.

The GST should take stock of the overall progress on mitigation, adaptation and support in a holistic manner, in particular taking into consideration the linkage between actions and support, without dealing with these elements in a truncated manner. The GST will entail information gathering and discussions by parties in a facilitative, party-driven manner dealing with elements of mitigation, adaptation and means of implementation and support, in a holistic and interlinked manner.

Key issues related to the organization of the work of the GST, such as the participation of the observers, the role of Secretariat, events to be organized and the level of participation of Parties, should be decided upon by the Parties through consensus.

#### **4. Sources of Input for GST (to respond Question (c) in the APA conclusion)**

The sources of input for the GST should reflect and operationalize the comprehensive scope of the GST under Article 14.1 of the PA, “considering mitigation, adaptation, and the means of implementation and support, and in the light of equity and the best available science” in a balanced manner. In this regard, the sources should deal with information on mitigation, adaptation and support in a balanced, comprehensive and holistic manner, and take the information on the linkage between actions by developing countries and support by developed countries as a key resource.

Authentic and recognized sources, such as scientific studies conducted by the IPCC and / or various institutional bodies under the UNFCCC are important for GST. However, if scientific studies are done and / or sought and / or received from outside sources, such sources need to be identified and enlisted, and such a list should first have consensus from all Parties.

The sources of information for the GST may pertain to the national communications, biennial reports, and biennial update reports of all the Parties. In addition to this, the work output of various thematic bodies of the Convention and new bodies and institutions established under the PA should serve as potential sources for informing and contributing to the GST.

The GST should assess the overall progress on implementation of the PA, in particular the progress in support. Thus, relevant information provided by the mechanisms on adaptation, finance, technology and capacity building under the Convention and its PA, in particular the Adaptation Committee, Standing Committee on Finance, Technology Framework and Paris Committee on Capacity-building, should be included.

The GST should take into account the developed countries' implementation of their commitments to provide financial resources to assist developing countries with respect to both mitigation and adaptation.

The assessment of the aggregate finance provided by the developed countries to the developing countries must be done on the basis of information provided by the relevant entities of the finance mechanism under the Convention, including, inter alia, Global Environment Facility (GEF), Green Climate Fund (GCF),

Standing Committee on Finance (SCF), Adaptation Fund (AF) and (Least Developed Countries Fund) LDCF, and not outsourced to other entities and/or agencies, unless otherwise decided by all Parties.

Furthermore, another category of crucial inputs on finance is information on developed countries' climate finance that take into account the needs and priorities of developing countries, and how mobilization of climate finance represents a progression beyond their previous efforts and historical responsibilities.

The GST must take into account the efficacy of the relevant institutional arrangements under the Convention as well as the PA, which are mandated to enhance capacity building activities that will support the implementation of the PA.

The Technology Executive Committee (TEC) and the Climate Technology Centre and Network (CTCN), may make a technology needs assessment, provide an overview of countries' climate technology needs, address barriers, and recommend actions to accelerate the development and transfer of climate resilient technologies from the developed countries to the developing countries.

In furtherance to the leadership of the developed countries envisaged under Article 9.3 of the PA, in relation to climate finance, focus must be with regard to new and additional finances provided for climate change actions by the developed countries. In furtherance to Article 9.5 of the PA, the biennial communications submitted by Parties should be indicative of the finances received by the developing country Parties, clearly setting out the new and additional finances provided towards all climate actions (including towards mitigation, adaptation, and means of implementation and support). There is a need to capture information about the new and additional finance, apart from what has already been committed by the developed countries.

Information related to equitable access to sustainable development, such as data on the per capita historical cumulative emissions since the Industrial Revolution, should be available with the IPCC for its scientific studies, or the IPCC can be mandated by the UNFCCC to include this information in its assessment (since the AR6 is due by 2022, immediately before the GST is due to commence).

Furthermore, there should be a balance between IPCC and non-IPCC sources. Particularly, the inputs for the GST should include information related to equity and climate justice in combating climate change, such as information on historical responsibilities by developed countries since the Industrial Revolution, development gaps between developed and developing countries, sustainable development and poverty eradication in developing countries, job creation, and the rights of Mother Earth.

Communications and relevant reports by Parties should also be inputs for the GST. Since the GST is to assess the overall progress of Parties, national information officially provided by national governments should be prioritized as sources of input.

## **5. Operationalizing Equity and CBDR and Ensuring Linkage between Actions and Support (to respond Question (a), (g) and (h) in the APA conclusion)**

CBDR is a core principle in the Convention and the PA, and Equity is an important aspect mentioned in the PA itself. The GST should be governed by the principles of equity and CBDR (a differentiated arrangement for developed and developing countries).

Various mechanisms have been put in place to enhance actions by countries through the systematic

updates of countries' actions, and the provision for a collective assessment of progress. It is important that these mechanisms keep the onus on developed countries, and their efforts are based in Equity, as envisioned in the PA, in terms of actions pledged and support provided to the developing countries.

Indicators such as human development index (HDI); which is a clear measure of development, the potential to mitigate, and technical and financial capabilities to respond to climate change, should be considered as factors to attribute responsibility. The developed countries lead in their current and historical levels of energy consumption that have led to their dominant shares in emissions, so they must therefore, also lead in their efforts to address climate change issues. Climate action efforts of developed countries should not be compared to developing countries.

Furthermore, Equity must be applied to the implications of mitigation policies, as well as adaptation responses, to determine whether it is reducing the risks of climate change to the populations of developing countries.

Hence, with regard to CBDR and to operationalize equity, historical responsibility and national capability should be used as parameters for Parties to raise their individual climate ambitions, led by developed countries, for a collective assessment of progress.

The mechanisms provided for in the GST must bring out clearly the leadership of developed countries for more ambitious actions in relation to implementation and support provided with regard to finance; technology development and transfer; and capacity building, to allow developing countries the carbon space to meet their development needs, reflect the equitable access to sustainable development, including equitable sharing of the global historical carbon budget, to ensure ambition, and also operationalize equity.

## **6. Parity between Adaptation and Mitigation (to respond Question (a), (g) and (h) in the APA conclusion)**

As stated above, adaptation is within the scope of the GST under Article 7 of the PA. Adaptation tends to have a higher policy priority as the focus of their climate change actions for many developing countries given their particular vulnerabilities to the adverse impacts of climate change, their level of development, and their generally lower level of emissions. However, adaptation has not found equal space nor given parity with mitigation in the climate regime negotiations.

In relation to providing for support for adaptation, developing countries must make many trade-offs at the national level in terms of allocating domestic resources in order to address the impacts of climate change while at the same time addressing other urgent national priorities such as fostering sustainable economic development, eradicating poverty, providing energy security, and securing the basic social needs of their peoples.

The GST should, therefore, assess the extent to which the developed countries, in accordance with their historical responsibilities and pursuant to their commitment under Article 4.4 of the Convention, has provided sustained financing to developing countries to assist them in meeting the costs of adapting to the adverse effects of climate change. In this context, the developed countries' commitment of USD 100 billion per year by 2020, which still needs to be fulfilled, and USD100 billion per year from 2020 to 2025 and further increased collective target from the floor of USD 100 billion per year after 2025 under the Paris Agreement, should be further supplemented with a goal of USD 50 billion per year from 2020 to 2025 and above USD 50 billion after 2025 for adaptation financing support from developed to developing countries under the Paris Agreement and the Convention. This would be a useful starting point, among

other things, for the collective assessment in the GST with respect to adaptation.

### **7. Outcome of GST (to respond Question (g) and (h) in the APA conclusion)**

To ensure that the outcome of the GST is informative in an overall manner and enhances cooperation for climate action, it must deliver positive and practical information that can be considered and used by Parties. For instance, the GST outcome could be reflected in the form of messages agreed to by the CMA under the GST that go beyond assessing the meeting of mitigation targets and the identification of mitigation gaps. The GST outcome should also focus on providing the Parties with an assessment of good practices, experiences, technology innovation and potential cooperative opportunities, as well as of developing countries' needs for support (finance, technology development and transfer, and capacity building) to enhance their climate actions.

It is important to stress that Article 4.9 of the PA indicates that “Parties shall...be informed by the outcome of the GST”, rather than “NDCs shall be informed by the outcome of the GST”. Article 14.3 indicates that “the outcome of the GST shall inform Parties in enhancing and updating their actions and support, as appropriate.” Therefore, in the provisions of Paris Agreement, it is clear that there is no specific and direct linkage between the outcome of the GST and any adjustments or upgrading that individual Parties may make with respect to their existing NDCs and/or their subsequent NDCs.

The outcome of the GST is, based on the Paris Agreement itself, only a discretionary information tool for Parties' reference should they wish to go about enhancing or updating their actions and support, as appropriate. Hence, the specific ways of the enhancement of the actions should be nationally determined by Parties with concerns, in line with their differentiated responsibilities under the Convention and its Paris Agreement.

Furthermore, the outcome of the GST can be a reference point to Parties, for identifying their follow-up actions to strengthen international cooperation in addressing climate change.

The principles of CBDR and Equity have to be embedded in the outcome of the GST, especially how they are being reflected and taken into account in developing countries' collective efforts to attain the long term goals under Article 2 of the PA, i.e. sustainable development and poverty eradication; supported by the developed countries through adequate means of implementation as envisaged under the Agreement.

Under Article 4.4 of the Paris Agreement, there is a clear demarcation of roles has been provided for between developed and developing countries in relation to mitigation, with developed countries undertaking quantified economy-wide emission reduction commitments and developing countries undertaking enhanced mitigation actions, in light of different national circumstances. Keeping in view the differentiated obligations under the Agreement, the actions and efforts of the developed countries should demonstrate the leadership envisioned in the provision.

The GST must assist in identifying and unlocking potential barriers to the implementation by developing countries of the Paris Agreement, and further help connect developing countries with the support they need to overcome these barriers in order to enhance actions. In this regard, the outcome of the GST must provide clarity with respect to the support needed by developing countries and to be provided by the developed countries. Therefore, the GST outcome should ensure a clear overall picture on the support provided by the developed countries to the developing countries including the aggregate financial support, proof of support in technology transfer and development, and a review of the support provided for

meeting adaptation goals. The outcome should illustrate the gaps in means of implementation due to shortfall of the support in finance, technology development and transfer and capacity building, and what are the roadblocks in providing such support by the developed countries.

In addition, it is critical to ensure that the GST can inform the delivery of support and technical assistance through the Financial Mechanism, Technology Mechanism and related bodies on capacity building.

When informed by the outcome of GST, developed countries should further increase their ambition both on emission reductions and provision of finance, technology and capacity-building support to developing country Parties, in line with their historical responsibility and leadership in addressing climate change, and developing countries could further enhance their mitigation and adaptation actions, taking into account their circumstances, capacities and increased finance, technology and capacity-building support received.

It is premature to discuss the format of the GST outcome in the form of specific “outputs”, given that there is still divergence and ambiguity on the modalities of the GST. Nevertheless, any outcome with substantial policy implications should reflect all Parties’ inputs in a balanced and comprehensive manner and be discussed and agreed in a Party-driven and consensus-based manner.

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## **SUBMISSION BY THE GOVERNMENT OF INDONESIA**

### ***APA1.2 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***

*Pursuant to the Informal Note by the Co-Facilitators on APA 1.2 Agenda item 6 about 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, this submission answer the following questions:*

#### ***1. Linkages and context global stocktake:***

*a. How to understand and assess collective progress towards achieving the purpose of the Paris Agreement and its long-term goals? How will this be done 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?;*

Indonesia is of the view that global stocktake should encompass the following:

- an open and transparent dialogue between IPCC experts and Parties to exchange information.
- facilitative dialogue to track the progress on the achievements of NDC.
- presentation of these achievements in country report that encompasses mitigation, adaptation actions and supports through a registry determined by the respective parties and intended to provide public feedback to the UNFCCC registry.

*b. How to increase understanding of the linkages between Article 14 and other articles of the Paris Agreement, which are directly or indirectly linked to the global stocktake (GST)?*

- There is need for a coordination mechanism between global stocktake under APA and SBSTA with other agendas under the APA, such as agenda item 3 (NDCs), item 4 (Adaptation communications), item 5 (Transparency), and item 7 (Compliance).

- Global stocktake discussions shall be comprehensive and facilitative, considering mitigation and adaptation implementation and support facilities (means of implementation and support), based on best available science.

## **2. Sources of input global stocktake:**

- a. How to capture information relevant for assessing collective progress towards achieving the purpose of the Paris Agreement and its long-term goals from different sources of input in a comprehensive, manageable, and balanced manner among all elements, including but not limited to, adaptation, mitigation, and means of implementation and support?*

Indonesia would like to submit its views as follows:

- GST should cover mitigation, adaptation, and the means of implementation and support in a comprehensive and facilitative manner.
- Identification of the source of input for global stocktake should be based on the IPCC reports, and reports from parties such as NDCs, BUR, National Communication, and other sources;
- There is a need to establish certain format, structure, and flow of assessment related to the input of global stocktake in order to enable identification of the sources of input and development of modalities.
- The results of GST should apply to all Parties and serve as a means to track progress towards achieving the purpose of PA.
- The global stocktake process should be preceded by workshops that bring together Party and Non-party stakeholders, of which results are submitted to the secretariat as a basis for decision-making process and recommendations

## **3. Modalitas global stocktake:**

- a. What modalities will ensure that the GST will be facilitative, open and inclusive but also efficient and effective?*

- Optimization of the available Public registry for global stocktake purposes (facilitated by the Secretariat).
- GHG interface that is currently being developed by Secretariat may be one of the compatible tools for Parties in tracking GST.
- Existing relevant assessment of the progress on mitigation and supports (e.g. ICA, IAR and multilateral assessment).

- b. How will the information that is reported and communicated be processed?*

- Reported and communicated information will be processed using mechanism (GHG Interface) built by the Secretariat.

c. *How will the CMA be assisted in conducting the GST? What bodies and processes are linked to the GST and in what way?;*

- In implementing the global stocktake, CMA uses IPCC assessment results which have been agreed in SBSTA.
- An institutional arrangement should be developed to assist CMA (Conference of the Parties serving as the meeting of the Parties to the Paris Agreement) in conducting the global stocktake activities.

d. *What could be the most appropriate timeline for the GST? What could be its phases and streams, if any?.*

- The global stocktake shall be organized at the very least one year prior to the review of NDC

**4. Outcome/outputs global stocktake:**

a. *How to ensure that the outcome of the GST would inform Parties in 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?*

b. *What information will support this outcome?*

- The results of global stocktake can be included in annual meeting of the CMA and be followed up in COP.
- Information that will support the outcome global stocktake related to the progress of the implementation of the action and support.

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## Submission by Japan

### Views on agenda item 6 on the Ad Hoc Working Group on the Paris Agreement

(27 April 2017)

Japan welcomes the opportunity to submit its views on matters relating to the global stocktake: (a) identification of the sources of input for the global stocktake; and (b) development of the modalities for the global stocktake. The following proposals takes into account the guiding questions referred to in paragraph 17 of the conclusions of the second part of the first session of the Ad Hoc Working Group on the Paris Agreement (APA).

Our proposals below build upon the previous submission with Australia, Canada, and the United States<sup>1</sup>.

#### **Overall Context**

- The concepts of the global stocktake are described in Article 14 of the Paris Agreement as follows:
  - Purpose: to assess the collective progress towards achieving the purpose of the Paris Agreement and its long-term goals
  - Principles: comprehensive and facilitative process in the light of equity and the best available science
  - Scope: mitigation, adaptation and the means of implementation and support
  - Outcome: to provide information for 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

In addition, paragraph 99 of Decision 1/CP.21 provides the initial list of the sources of input.

- Japan believes that technical discussions based on above-mentioned concepts set by the Paris Agreement should be moved forward toward substantial development this year.
- It was decided at the COP22 that the work programme under the Paris Agreement will be completed in 2018. In order to meet this deadline, the necessary elements of the sources of input and the modalities should be identified this year, and discussion on the draft text should be started as early as possible in 2018.
- Parties should focus on technical discussions and the inter-sessional works should be

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<sup>1</sup> See:

[http://www4.unfccc.int/Submissions/Lists/OSPSubmissionUpload/175\\_282\\_131203248122792792-Submission%20by%20Australia-Canada-Japan-United%20States%20on%20APA%20Item%206.pdf](http://www4.unfccc.int/Submissions/Lists/OSPSubmissionUpload/175_282_131203248122792792-Submission%20by%20Australia-Canada-Japan-United%20States%20on%20APA%20Item%206.pdf)

decided at the APA 1-3. Focused submissions from Parties should be invited. The technical paper by the secretariat on the synthesis of Parties' submissions and/or relevant past experiences, and the technical workshop would also facilitate the discussion further.

### Inputs

- Taking into account the purpose of the global stocktake, the inputs for the global stocktake should consist of factual, technical and accurate information on the progress of each of mitigation, adaptation and means of implementation and support.
- In order to ensure that the global stocktake is conducted based on the best available science, IPCC plays a key role in providing scientific basis. Japan welcomes the decision that the IPCC AR6 Synthesis Report would be finalized in 2022 in time for the first global stocktake.
- Identifying the complete list of inputs until CMA1-3 would not be a pragmatic approach, as the inputs for the future global stocktake, which will be conducted every 5 years, would not be able to predecided. Such approach would not be appropriate in terms of providing input of the best available science at the time. What should be considered by CMA1-3 should be the non-exhaustive list of the sources of input. The list could include:
  - Parties' submissions such as NDCs, adaptation communications and reports under the transparency framework of Article 13 of the Paris Agreement (maybe synthesized by the secretariat)
  - The latest reports from the IPCC
  - Reports from bodies under the Convention and the Paris Agreement
  - Relevant reports and studies or scientific and reliable information from international organizations, as appropriate (especially documents which are published after the cut-off dates of each IPCC cycle and meeting IPCC criteria)
- The process for collecting inputs is necessary for the global stocktake. Japan is of the view that the process of the global stocktake should be conducted efficiently, while ensuring adequate assessment of the collective progress. In order to ensure that the inputs are relevant and adequate, the process for collecting inputs could be the following, based on the non-exhaustive list of the sources of input to be identified at the CMA1-3:
  - 1) The subsidiary bodies (SBs) prepare the list of available inputs with support from the secretariat, taking into account the best available science.
  - 2) The SBs invite Parties' submission to supplement the inputs, if necessary.
  - 3) The co-facilitators of the technical phase (see the "Modalities" section below) organize the inputs, consulting with Parties.

Detailed process and possible timeline would need further consideration.

- As the global stocktake is not a one-time event, any inputs that come in late for a cycle of the global stocktake could be considered in the following cycle. Thus, specifying a cut-off date for inputs would be helpful to ensure that inputs are adequately considered in the process. It will be useful that the secretariat produces and updates an information note containing list of relevant inputs and the timing of their availability.

### **Modalities**

- As referred to in Article 14, paragraph 1 of the Paris Agreement, the global stocktake assesses the collective progress of mitigation, adaptation and the means of implementation and support, in accordance with Article 2 of the Agreement. Each of the three areas is different in nature, while comprehensive effort on these areas is needed. In this regard, technical reviews focused on each of them respectively are needed in order to provide accurate and adequate information on the progress of each area.
  - Mitigation

The assessment of the collective progress towards the long-term temperature and emissions goal of the Agreement needs to take into account both the recent emission trends and the future projections. The progress of policies and measures could also be considered.
  - Adaptation

The assessment should be conducted in accordance with Article 7, paragraph 14 (a) to (d) of the Paris Agreement. Regarding subparagraph (d) in particular, it is not feasible to identify numerical indicators for reviewing the overall progress made in achieving the global goal on adaptation.
  - Means of implementation and support

Both support provided and received should be taken into account when assessing the collective progress. The assessment should be made not only by the amount of climate finance itself but also by the traits and tendencies of the support to developing countries Parties from a qualitative perspective.
- Along with such technical work, the enhancement of the political momentum for global response to climate change toward achieving the long-term goals under Article 2 of the Agreement is also important.
- Therefore, the global stocktake should consist of both technical and political phases. It would be at least one year process, and it should be noted that adequate consideration would be needed when essential reports including those from IPCC are released.

### Timeline

- 1) Technical phase: technical dialogue in conjunction with the SBs, followed by the

release of the output well before the next phase, i.e. the political phase

- 2) Political phase: political dialogue based on the output of the technical phase in conjunction with the CMA of the year of the global stocktake, followed by the release of the output

#### Technical Phase

- Japan takes note of the advice by the SBSTA at its 45<sup>th</sup> session on how the assessments of the IPCC can inform the global stocktake (FCCC/SBSTA/2016/L.24), which refers to lessons learned from the past experiences. In particular, the structured expert dialogue (SED) on the 2013-2015 review of the long-term global goal was mentioned as a successful example of a technical and constructive opportunity for exchanging views among experts and Parties based on the best available science.
- The experience of the SED provides useful lessons for the modalities of the global stocktake, for example:
  - Open and transparent dialogue with participation of various experts, Parties and observers
  - Broad technical inputs such as presentations from experts
  - Exchanging views among participants in a facilitative manner, with the guidance of the co-facilitators
  - Providing scientific output as a report by co-facilitators, containing the summary of the dialogue and key messages
- Taking into account the past experiences and the advice by the SBSTA, the technical phase would consist of an open-ended technical dialogue among experts and Parties. The inputs could be introduced through tailored presentations by experts from relevant bodies under the Convention and the Paris Agreement and international organizations including the IPCC. The presentations would be followed by questions and answers on technical issues among experts and Parties. Selecting the co-facilitators prior to the commencement of the technical dialogue could be helpful to convene this process efficiently.
- The SBs could assist the CMA to conduct the process by setting up a joint contact group and providing a space for the technical dialogue.
- As the output, a report, which includes technical information on the process, sources of input, discussions and assessments, could be prepared by the co-facilitators with assistance from the secretariat.

#### Political Phase

- A high-level dialogue facilitated by the CMA presidency could be convened to discuss the collective progress of the implementation of the Paris Agreement based on the

output of the technical phase. The increased awareness of Parties, which would lead to updating and enhancing their actions and support, could be expected with the involvement of the high-level representatives.

- It could be concluded with, for example, a summary of the high-level dialogue. This output will inform Parties and the international society of the status of the collective progress toward achieving the purpose and the long-term goals of the Paris Agreement, and could also identify the opportunities of best practices and possible measures which will inform Parties in updating and enhancing their efforts. In terms of the format, whether it includes any key messages or recommendations, and whether it takes the form of the CMA decision would need further discussion, bearing in mind that Parties should not focus on negotiating the output, but on the process itself.
- The outcome should contribute to recognizing gaps and opportunities in updating and enhancing Parties' action and support in order to enhance global response to climate change. In addition, the experience of the global stocktake could contribute to the improvement of successive global stocktake cycles.

Environmental Integrity Group (EIG) comprising Liechtenstein, Mexico, Monaco, the Republic of Korea, and Switzerland

## **EIG Submission on Matters Relating to the Global Stocktake Referred to in Article 14 of the Paris Agreement**

May 2017

The Environment Integrity Group (EIG) welcomes the opportunity to make a further submission, built upon the previous submission of August 2016, on Article 14 of the Paris Agreement in line with paragraph 17 of the conclusions (FCCC/APA/2016/L.4) of the second part of its first session (APA 1-2).

### **1. General matters on the global stocktake**

The global stocktake established by Article 14 of the Paris Agreement is to periodically take stock of the implementation of the Agreement to assess the collective progress towards achieving the purpose of the Agreement and its long-term goals, so as to inform Parties in updating and enhancing their actions and support and also in enhancing international cooperation. This indicates that the global stocktake functions as both backward and forward looking moment by tracking the current state of implementation and catalyzing the necessary increase of climate action over time. It also identifies opportunities and promotes best practices, which will deliver necessary information for Parties to strengthen domestic actions and international support and cooperation. In this regard, the EIG believes that the global stocktake is of critical importance ensuring progression toward the long-term global goals and the ultimate success of the Paris Agreement.

In accordance with Article 14.1 of the Agreement, the global stocktake encompasses all elements of mitigation, adaptation and means of implementation and support. This overarching nature of the global stocktake makes evident in the linkage with other articles of the Paris Agreement that are Article 4.9, 7.14, 9.6, 10.6, 13.5 and 13.6. These articles directly or indirectly indicate the purpose and the outcome of the global stocktake and what information to look at to take stock of the implementation of the Paris Agreement. Further details are to be explained in the later sections of this submission.

### **2. Sources of input and information for the global stocktake**

#### **(1) IPCC reports**

The Paris Agreement stipulates the global stocktake responsive to the best available science. The EIG is of the view that IPCC reports provide the best available scientific and technical knowledge. For example, they are providing benchmark information on 2°C and 1.5°C temperature scenarios and

emission pathways, climate impacts and adaptation needs and economic implications consistent with the scenarios through the assessment reports and the upcoming special report.

In this regard, the EIG believes that the IPCC reports should be the primary sources of input for the global stocktake. In order to ensure that the global stocktake is informed in a timely manner by the best available science, the EIG encourages the IPCC to continue consideration of aligning its assessment cycle with the global stocktake, as well as filling in its future assessment cycle scientific information gaps that the global stocktake may identify.

### **(2) Synthesis report on the aggregate effect of NDCs and on adaptation undertaking**

The forward looking feature of the global stocktake particularly requires the overall effect of the nationally determined contributions (NDCs) to be employed as key information for the global stocktake. Hence, the EIG requests the CMA to give a mandate to the UNFCCC secretariat to continue publishing a synthesis report on the aggregate effect of NDCs in line with the Parties' NDCs communication every five years. In a similar context, the EIG suggests that the secretariat publishes a synthesis report on adaptation communications referred to in Article 7.10 .

### **(3) Information submitted by Parties**

The Paris Agreement aims to hold the increase in the global average temperature to well below 2 °C and further toward 1.5 °C above pre-industrial levels, to increase the ability to adapt to the adverse impacts of climate change and foster climate resilience and low greenhouse gas emissions development, and to make finance flows consistent with a pathway towards low greenhouse gas emissions and climate-resilient development.<sup>1</sup> In order to achieve the long-term temperature goal, it especially requests Parties to reach global peaking of greenhouse gas emissions as soon as possible and to undertake rapid reductions thereafter, so as to achieve carbon neutrality in the second half of this century.<sup>2</sup>

This implies that information on, inter alia, projected emission levels, low greenhouse gas emission strategies and peaking would help take stock of progress towards the purpose of the Paris Agreement and the long-term goals. Thus, the EIG recommends that Parties provide, to the extent possible, information on emission levels for the NDC target year. Furthermore, the EIG encourages Parties to

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<sup>1</sup> Article 2.1 of the Paris Agreement

<sup>2</sup> Article 4.1 of the Paris Agreement

provide information on the expected time for peaking in their NDCs, if appropriate, and to submit the long-term greenhouse gas emission strategies in accordance with Decision1/CP/21, paragraph 35.

#### **(4) Information from the enhanced transparency framework**

The EIG recognizes that information from the enhanced transparency framework for action and support is another crucial input to the global stocktake as the global stocktake also features the backward looking properties. In particular, the national inventory reports which provide time series information on greenhouse gas emissions will be of the utmost importance in tracking overall progress. Further, the information necessary to track progress made in the implementation and the achievement of NDCs, which is regularly reported, and outputs from the technical expert review will be valuable inputs as well.

In this sense, the enhancement of the transparency framework providing a clear understanding of Parties' climate change action and support is crucial to inform the global stocktake as referred to in Article 13.5 and 13.6 of the Paris Agreement.

#### **(5) Relevant Convention bodies' reports**

In addition to this, Parties should consider requesting relevant Convention bodies to prepare the reports on elements they are responsible in order to capture information necessary for the global stocktake in a comprehensive but efficient manner. This should include but not be limited to:

- The Adaptation Committee with assistance from the LEG<sup>3</sup> should prepare a report providing information on the adequacy and effectiveness of adaptation and support provided for adaptation and the overall progress made in achieving the global goal on adaptation.
- The Standing Committee on Finance mandated to serve the Paris Agreement<sup>4</sup> should prepare a report providing information on the collective mobilization and provision of support.
- The Technology Mechanism should prepare a report providing information on efforts related to support on technology development and transfer.

The above list of sources is not exhaustive so that other relevant sources including reports by bodies outside the UNFCCC could be added if necessary.

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<sup>3</sup> Least Developed Countries Expert Group

<sup>4</sup> Decision 1/CP.21, paragraph 63

### **3. Modalities and outputs of the global stocktake**

The EIG is of the opinion that the global stocktake should have sufficient time to prepare and consider technical inputs, and culminate at the relevant CMA.

While the CMA shall be the responsible body undertaking the global stocktake in 2023 and every five years thereafter in accordance with Article 14.2 of the Paris Agreement, the EIG suggests establishing a joint contact group of the Subsidiary Body for Scientific and Technological Advice (SBSTA) and the Subsidiary Body for Implementation (SBI) to assist the CMA by means of conducting technical assessments beforehand.

Drawing from the experience of the 2013-2015 review, the EIG requests the joint contact group to organize technical workshops in a format such as the structured expert dialogue (SED) for the consideration of the technical/scientific information and a focused exchange of views.

The workshops will function as an open, inclusive and facilitative vehicle that Parties engage with not only experts but also relevant stakeholders including non-state actors outside the UNFCCC, and also promote substantive discussions in an effective and efficient way. The EIG recommends establishing three thematic workshops for 1) mitigation, 2) adaptation and 3) the means of implementation and support. The same amount of time should be assigned for each topic.

Each workshop will be led by two co-facilitators, one from developed country Parties and the other from developing country Parties. The workshops will be open to all Parties and observers and organized by the secretariat. They can be basically proceeded with presentations made by, for instance, experts about the recent scientific findings, representatives of Convention bodies about their focused reports, Parties about best practices and challenges of their climate actions and relevant stakeholders about opportunities, and then followed by questions and answers and further discussions on key issues raised.

The EIG suggests that the co-facilitators of each workshop produce a report as an intermediate output, which synthesises the technical inputs considered and summarizes discussions done under each workshop. The reports may also include key messages capturing important findings related to the collective progress in achieving the purpose of the Paris Agreement and its long-term goals, as well as opportunities to fill out the gaps.

The output of the joint contact group with all information considered in the course of the technical process including, inter alia, the workshop reports will feed into the political discussion among high level participants, taking place during the CMA in the year of the global stocktake. Also all inputs and outputs should be open to public through the UNFCCC website.

The high level event at the CMA in 2023 and every five years thereafter would mark the culmination of the global stocktake, creating political momentum.

#### **4. Outcome of the global stocktake**

The outcome of the global stocktake shall provide political guidance for Parties to update and enhance their actions and support and also promote international cooperation pursuant to Article 14.3 of the Paris Agreement. Therefore, it should, inter alia, reflect the information on the ambition gap between the collective efforts and the long-term goals.

Also, the key opportunities and possible solutions on bridging the ambition gap should be addressed in the outcome to send a positive signal and facilitate the strengthening of Parties' domestic climate actions and their international support and cooperation. In this sense, the EIG recommends that the CMA requests each Party to reflect how it has taken into account the outcome of the global stocktake when communicating its subsequent NDCs.

In addition to this, the CMA should invite the scientific community including the IPCC to consider the outcome of the global stocktake so as to fill scientific information gaps in its next assessment.

#### **5. Other matters related to the global stocktake**

The EIG acknowledges that the views on the inputs and modalities presented above constitute our initial standpoint. As a matter of fact, available sources of input will expand as a result of scientific evolution, and also Parties will gain more insights into how to assess the collective progress over time. In this regard, the EIG sees that identifying inputs and specifying modalities for the global stocktake is to be rather an iterative process. We are thus in favor of a periodic revisit and possible improvement over time after an initial set-up of sources of input and modalities in 2018.

Also, experiences gained and lessons learned from the 2018 facilitative dialogue could provide valuable inputs to the further elaboration of the global stocktake.

The periodic review which was established by the Cancun Agreement<sup>5</sup> is also relevant to the global stocktake since both review overall progress towards achieving the long-term global goals. The first review was conducted in 2013-2015 and the subsequent reviews will take place following the adoption

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<sup>5</sup> Decision 1/CP.16, paragraph 138

of an assessment report of the IPCC or at least every seven years<sup>6</sup>, meaning that there is a possibility of the next periodic review to be held in 2022 in consideration of the IPCC decisions<sup>7</sup> to approve the sixth assessment reports until 2022. Yet, decision 10/CP.21, paragraph 9, requested to avoid duplication of work and conduct the periodic review in an effective and efficient manner. Therefore, the EIG is of the opinion that it is necessary to find a systematic way for the review to complement the global stocktake, or to integrate the periodic review into part of the global stocktake.<sup>8</sup>

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<sup>6</sup> Decision 2/CP.17, paragraph 167

<sup>7</sup> IPCC/XL III-6 and IPCC/XL III-7

<sup>8</sup> That would be discussed under the agenda item of SBSTA and SBI, Scope of the next periodic review of the long-term global goal under the Convention and of overall progress towards achieving it, from May, 2017.



## **Submission on APA Agenda item 6, Matters relating to the global stocktake referred to in Article 14 of the Paris Agreement by the Republic of the Maldives on behalf of the Alliance of Small Island States**

2 May 2017

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On behalf of the Alliance of Small Island States (AOSIS), the Republic of the Maldives welcomes this opportunity to provide its views to the Ad Hoc Working Group on the Paris Agreement (APA) in response to the call for submissions contained in paragraph 25 of the draft conclusions of the co-Chairs of the APA contained in FCCC/APA/2016/4 on: *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; and (b) development of the modalities of the global stocktake.*

This submission elaborates upon the previous AOSIS submission on this issue, submitted on 30 September 2016, included in FCCC/APA/2016/INF.4.

### **Linkages and Context**

The overall context for the global stocktake (GST) is set by the provisions in Article 14 of the Paris Agreement (PA). Of particular relevance in Art 14.3 which states that " 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 this Agreement, as well as in enhancing international cooperation for climate action."

This mandate to update and enhance NDCs is a fundamental provision of the Paris Agreement and is repeated in Article 4.3, which states that " Each Party's successive nationally determined contribution will represent a progression beyond the Party's then current nationally determined contribution and reflect its highest possible ambition, reflecting its common but differentiated responsibilities and respective capabilities, in the light of different national circumstances.'

The GST is therefore not a passive review of the implementation of the Paris Agreement, but rather is aimed at informing Parties "updating and enhancing" NDCs including increasing the level of ambition of the NDCs and enhancing international cooperation for climate action. This is the overall context of the GST and the inputs and modalities for the GST therefore have to be designed around these objectives.

### **(A) How to understand and assess collective progress towards achieving the purpose of the Paris Agreement and its long-term goals? How will this be done 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?**

Collective progress will ultimately be measured by the extent to which the overall goals of the PA are being met. Given the medium term nature of the NDCs in the context of the PA goals, the metrics for measuring progress will evolve over time, as more and more actions by Parties become institutionalised. Progress in the achievement of these goals during the period to the first GST will be determined by the extent to which Parties have begun to institutionalise national actions that will deliver the global goals and the impact of these actions. These actions will include:

#### Mitigation

- a. aggregate level of ambition of the NDCs and the extent to which they are compatible with the 1.5C global; and
- b. collective effect of actions taken by countries in implementing their NDCs, including whether or not these actions are sufficient to to close the emissions gap consistent with 1.5C temperature goal; and
- c. current and projected aggregate emissions levels to 2025 and 2030, taking reference from the synthesis report by the UNFCCC and IPCC reports.
- d. Identifying opportunities for international cooperation, to enable Parties to undertake their climate policies more effectively.

### Adaptation

- a. Where appropriate and to the extent possible, extent to which countries have begun to integrate adaptation into national development plans and processes; and
- b. extent to which developing countries have access to means of implementation that are sufficient and predictable.

Article 14(1) sets out the mandate of the GST to take stock of the implementation of the PA to assess the collective progress towards achieving the purpose of the PA and its long-term goals.

1. Article 14(1) also mandates the GST be comprehensive and facilitative.
2. AOSIS sees the GST as a critical component of the PA and essential to develop a big picture of our collective progress, to understand where we are and what more we can do together collectively, towards achieving the purpose of the PA over time.
3. The GST should be designed to be implemented 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.
4. The GST must facilitate an in-depth assessment of (i) the aggregate adequacy of the NDCs, and (ii) the aggregate progress towards achievement of the NDCs by Parties.
5. The adequacy of aggregate progress is to be assessed not only against achieving the temperature goal under Article 2 but also the mitigation goal under Article 4 to peak global emissions as soon as possible and to achieve a balance between anthropogenic emissions by sources and removals by sinks of GHG in the second half of this century.
6. The adaptation mandate of the GST includes measuring progress on building resilience to climate change.
7. While global in nature, the GST should 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.
8. The mandate of the GST is to also assess whether adequate resources are being provided to meet the adaptation objectives, mitigation ambitions and reporting requirements under the PA.
9. We do not believe it is possible to negotiate a prescriptive approach to equity - in particular given that Article 14 is clear that the outcome of the GST shall inform Parties in updating and enhancing their actions and support in a nationally determined manner.

### **(B) How to increase understanding of the linkages between Article 14 and other articles of the Paris Agreement, which are directly or indirectly linked to the global stocktake (GST)?**

The GST should be designed to be implemented 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 and it will accordingly link, both explicitly and implicitly, to many of the articles of the PA.

### Mitigation

1. The mitigation mandate of the GST is to assess collective progress towards meeting the long-term temperature goal contained in Article 2.1(a) of the PA of limiting the increase in global average temperature to 1.5°C above preindustrial levels.
2. Additionally, the adequacy of this collective progress is to be assessed not only against achieving the temperature goal under Article 2, but also the mitigation goal under Article 4 to peak global emissions as soon as possible, and to undertake rapid reductions thereafter in accordance with best available science, so as to achieve a balance between anthropogenic emissions by sources and removals by sinks of GHG in the second half of this century.

### Adaptation

3. Article 7.14 explicitly mandates that the GST shall, inter alia:
  - a. Recognize adaptation efforts of developing country Parties;
  - b. Enhance the implementation of adaptation action taking into account the adaptation communication referred to in paragraph 10 of Article 7;
  - c. Review the adequacy and effectiveness of adaptation and support provided for adaptation; and
  - d. Review the overall progress made in achieving the global goal on adaptation referred to in

Article 7.1.

4. Article 13.5 mandates that the purpose of the framework for transparency of action is to provide a clear understanding of climate change action in the light of the objective of the Convention as set out in its Article 2, including clarity and tracking of progress towards achieving Parties' individual nationally determined contributions under Article 4, and Parties' adaptation actions under Article 7, including good practices, priorities, needs and gaps, to inform the GST under Article 14.
5. Discussions on adaptation under the GST should focus on efforts underway or planned in the most vulnerable countries and regions.
6. AOSIS supports consistent guidelines for adaptation communications to provide a useful input to the GST, building on existing processes such as National Communications, NAPAs and NAPs, as well as other equivalent national processes, in line with differing national circumstances.

Loss and damage

7. The GST should assess progress towards the implementation of Article 8.

Finance

8. Article 9.6 mandates that the GST shall take into account the relevant information provided by developed country Parties and/or PA bodies on efforts related to climate finance.
9. The GST should also assess progress in ensuring efficient access to financial resources for developing country Parties, in particular for the least developed countries and Small Island Developing States, in accordance with Article 9.9.
10. Article 13.6 mandates that the purpose of the framework for transparency of support is to provide clarity on support provided and received by relevant individual Parties in the context of climate change actions under Articles 4, 7, 9, 10 and 11, and, to the extent possible, to provide a full overview of aggregate financial support provided, to inform the GST under Article 14.

Technology

11. Article 10.6 mandates that the GST shall take into account the available information on efforts related to support on technology development and transfer for developing country Parties.

Transparency

12. Article 13.5 mandates that the purpose of the framework for transparency of action is to provide a clear understanding of climate change action in the light of the objective of the Convention as set out in its Article 2, including clarity and tracking of progress towards achieving Parties' individual nationally determined contributions under Article 4, and Parties' adaptation actions under Article 7, including good practices, priorities, needs and gaps, to inform the GST under Article 14.
13. Article 13.6 mandates that the purpose of the framework for transparency of support is to provide clarity on support provided and received by relevant individual Parties in the context of climate change actions under Articles 4, 7, 9, 10 and 11, and, to the extent possible, to provide a full overview of aggregate financial support provided, to inform the GST under Article 14.
14. In designing the mechanisms and processes under the Paris Agreement, including the GST, these inter-linkages as identified above should be taken into account to ensure coherence.

**(C) How to capture information relevant for assessing collective progress towards achieving the purpose of the Paris Agreement and its long-term goals from different sources of input in a comprehensive, manageable, and balanced manner among all elements, including but not limited to, adaptation, mitigation, and means of implementation and support?**

1. AOSIS supports the APA working towards a non-exhaustive list of inputs to the GST.
2. Inputs should be comprehensive and scientifically sound. These inputs could include, inter alia:
  - a. Information generated under the UNFCCC as well as information to be generated under the PA itself (e.g. in the case of the ex-ante and ex-post information to be provided pursuant to Article 9);
  - b. Inputs from the United Nations system such as relevant reports from United Nations Environment Programme, the Sustainable Development Goals Progress Report and the Global Sustainable Development Report;
  - c. Inputs from multilateral finance institutions;

- d. External inputs from civil society, regional groups and agencies, and the private sector that are scientifically sound and contributes to the comprehensiveness of GST process;
  - e. The information submitted under Article 13.8 on climate change impacts and adaptation under Article 7;
  - f. Inputs from the scientific community through IPCC reports (including the 1.5C special report due in 2018 and assessment reports) and other relevant peer reviewed scientific content.
3. Guidelines for adaptation communications should be consistent to provide a useful and manageable input to the GST, building on existing processes such as National Communications, NAPAs and NAPs, as well as other equivalent national processes, in line with differing national circumstances.
  4. It will be necessary to agree to a means of identifying and tracking the provision of finance and other means of implementation specifically earmarked to facilitate low carbon and climate resilient development.
  5. It is noted, with concern, that most emission pathways in the scientific literature so far include an overshoot of the 1.5°C long term temperature limit in Article 2. The input data for the GST should clearly identify and quantify any anticipated overshoot and the corresponding impacts. It is crucial that the GST also provides an assessment of characteristics of emission pathways that do not overshoot the 1.5°C long term temperature limit.
  6. The GST should consider inputs from the Action Agenda, as appropriate. This is an important complementary effort that can catalyse pre-2020 and post-2020 efforts towards achieving the goals of the Paris Agreement.
  7. To facilitate qualitative and quantitative analysis, the GST should also be mindful of regional differences in scientific research and systematic observation and assessment, particularly in capacity to access support.
  8. Special effort should be made to ensure that substantial input from the scientific community from developing countries is included in the GST. In particular, data should be sourced on the current and projected impacts of climate change on Small Island developing States.
  9. As reliable quality data will be important for purposes of the GST, AOSIS underscores the importance for continued support to SIDS in improving and strengthening their data generating systems including their national statistical offices.
  10. AOSIS also emphasizes the need for the scientific community to take into account the gaps in data relevant to SIDS.
  11. The GST should endeavor to include significant participation of researchers and authors from SIDS in the science and in its reporting, as well as research conducted on regions and groups that are particularly vulnerable to the adverse effects of climate change, as recognized in the provisions of the PA.
  12. AOSIS is of the view that it is not possible to negotiate a prescriptive approach to equity - in particular given that Article 14 is clear that the outcome of the GST shall inform Parties in updating and enhancing their actions and support in a nationally determined manner.
  13. The GST should bring together these various inputs in a party driven process that is open, transparent and inclusive, and that builds understanding on how Parties are working towards implementation of the PA.
  14. Management of the data for the GST can be done via a web-based platform allowing for ease of access.

**(D) What modalities will ensure that the GST will be facilitative, open and inclusive but also efficient and effective? How will the information that is reported and communicated be processed?**

1. Management of data for the GST can be done via a web-based platform.
2. The GST process needs to be party driven, and when considering the modalities for GST we should consider past experience and lessons learnt from similar exercises under the UNFCCC, including, inter alia, the Structured Expert Dialogue under the 2013-2015 Review work programme and the technical process under the Action Agenda.

**(E) How will the CMA be assisted in conducting the GST? What bodies and processes are linked to the GST and in what way?**

1. Inputs for the GST should draw on existing sources of information generated under the UNFCCC as well as information generated under the PA.
2. It will be important to also understand information gaps and various options for bridging those gaps.
3. The UNFCCC Secretariat may be tasked with providing a comprehensive listing of sources of information under the Convention and the PA for the information and comments of Parties.
4. The GST should consider inputs from the Action Agenda, as appropriate.
5. External inputs from civil society, regional groups and agencies, and the private sector should be encouraged in the GST.
6. The GST may facilitate partnerships to address barriers to implementation, and inform the delivery of support, including through, inter alia, the Financial Mechanism (Article 9.6), the Technology Mechanism (1/CP.21 para 70), the Paris Committee on Capacity Building, the Warsaw International Mechanism on Loss and Damage, and the Enhanced Transparency Framework under Article 13.
7. Per Article 18 and 19, both the SBI and SBSTA would have an important role to play in guiding, managing, and facilitating the GST and informing the CMA, as appropriate.

**(F) What could be the most appropriate timeline for the GST? What could be its phases and streams, if any?**

1. The timeline should allow appropriate time to collect, process and present the information for consideration of Parties and allow sufficient time for Parties to make contributions and discuss the outputs/outcome of GST in an inclusive, comprehensive and transparent manner.
2. The timeline should also allow appropriate time for observers and non-party actors to appropriately contribute to the GST process.
3. The GST will need a stream that analyses whether collective mitigation efforts are in line with achieving the long-term temperature goal of the PA.
4. The GST will also need a stream that analyses adaptation efforts and progress towards meeting the global goal on adaptation referred in Article 7.1.
5. The GST will also need a stream that analyses progress on the implementation of Article 8.
6. These streams should inform the discussions on the means of implementation, and provide recommendations for enhancement where needed.
7. The technical outputs from the above streams should be taken up for high level political consideration. And this political consideration phase must effectively inform subsequent domestic preparation of NDCs, such that all Parties are as ambitious as possible in order to ensure that globally we get on track and then remain on track for achieving the long term goals of the PA.
8. The design of the GST can be informed by existing models, tailored to address the particular goals of the Paris Agreement. Some models include, for example, the Structured Expert Dialogue under the 2013-2015 Review work programme and the technical process under the Action Agenda.

**(G) How to ensure that the outcome of the GST would inform Parties in 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?**

1. Facilitation of enhanced action will be achieved through analysis of whether aggregate efforts are in line with achieving the overall goal of the PA. In doing so the GST process could be thought of as needing to answer the following questions;
  - What is the progress achieved with regards to the overall goals of PA?
  - Where do we need to be to achieve the overall goals of PA?
  - How to enhance/accelerate action to collectively achieve the overall goals of PA?
2. The output of the GST will inform Parties in preparing their NDCs, including by identifying the need for enhanced action and international cooperation, and new opportunities for climate action and international cooperation, to enable Parties to undertake their climate policies more effectively.
3. In this regard, Parties should be able to share their experiences, good practices and identify

- challenges. One example of a platform of this nature is the High-level Political Forum on Sustainable Development, the global platform for the follow-up and review of the 2030 Agenda for Sustainable Development. It is an inclusive platform bringing together States, civil society, the private sector, and other stakeholders. It is likewise intended to be comprehensive (covering all sustainable development goals) and facilitative (supporting implementation).
4. The outputs of the GST can identify barriers to implementation and opportunities for dislodging those barriers. It can also facilitate partnerships, and inform the delivery of support including through the Financial Mechanism, the Technology Mechanism, the Paris Committee on Capacity Building and the Warsaw International Mechanism on Loss and Damage.
  5. The output from the political consideration phase must be effective in informing subsequent domestic preparation of NDCs, such that all countries are as ambitious as possible in order to ensure that globally we get on track and then remain on track for achieving the long term goals of the PA.
  6. The outcome of the GST should include, inter alia:
    - a. the aggregate adequacy of the NDCs;
    - b. the aggregate progress towards achievement of the NDCs by Parties with reference to the targets set in Article 2 and 4;
    - c. Review the adequacy and effectiveness of adaptation and support provided for adaptation;
    - d. Review the overall progress made in achieving the global goal on adaptation referred in Article 7.1; and
    - e. Assessment and aggregate progress of climate finance mobilisation, particularly aggregate value of climate finance support to SIDS.

**(H) What information will support this outcome?**

Refer to paragraphs 1-15 in response to question (C) above.

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**Submission by the Republic of Mali on behalf of the African Group of Negotiators**  
**On**  
**Views on issues discussed under agenda item 6, taking into consideration the questions**  
**identified by Parties as relevant for this item**

The African Group welcomes this opportunity to provide additional views on the modalities and inputs of the Global Stocktake (GST). This submission should be read in tandem with the Group's 2016 submission on the GST.

**1. Linkages and context**

*(a) How to understand and assess collective progress towards achieving the purpose of the Paris Agreement and its long-term goals? How will this be done 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?*

The 2015 Synthesis Report of the Aggregated Effect of INDCs and the preamble of Decision 1/CP.21 offer a stark warning about the inadequacy of the current collective response towards the attainment of the primary long-term objective of the Paris Agreement. The GST, which is the primary tool for assessing our efforts against the recommended pathways, would not have served its purpose if its output does not provide the basis for subsequent actions and support to be better informed and more responsive to the challenge of attaining those long-term goals.

For the GST to deliver an accurate and comprehensive assessment, there must be two sets of assessments. The first should assess contributions that Parties have reported with respect to the long-term goals of the Paris Agreement against what the latest scientific assessment prescribes. The second assessment would involve a review of the adequacy of the pledges communicated by the Parties against pathways that would help achieve the long-term objectives of the Paris Agreement.

In order for these sets of assessments to be comprehensive, they must cover all the key elements, namely mitigation, adaptation and means of implementation. The scientific benchmarks against which these reported and communicated contributions would be assessed against ought to come primarily from the IPCC.

With regard to equity, the African Group believes there must be an agreed equity framework with defined indicators against which each Party should assess their own contribution. These indicators could include contribution to emissions, capability and development needs. An invitation for Parties to submit their views and proposals on such a framework and indicators would help advance the work.

*(b) How to increase understanding of the linkages between Article 14 and other articles of the Paris Agreement, which are directly or indirectly linked to the GST?*

There are several issues under discussion in the APA, the SBs and other constituted bodies of the Convention that are also linked to Article 14 of the Paris Agreement. These items should remain cognizant of the implications of the outcomes of their work for the GST in terms of relevance of information, format, and timeline. Negotiations in these groups should factor in the need to provide information that would allow each GST to have a comprehensive, accurate and complete picture of what has been reported and communicated.

As a practical step to enhancing understanding of the linkages and ensuring consistency, the co-facilitators of these informal groups could provide periodic updates to the Agenda item 6 informal

group about the state of negotiations on their issue. There should be opportunities for Parties to engage in Q&A with the co-facilitators to clarify issues, or point out relevant guidance that they could consider in their deliberations.

## **2. Sources of input**

***(c) How to capture information relevant for assessing collective progress towards achieving the purpose of the Paris Agreement and its long-term goals from different sources of input in a comprehensive, manageable and balanced manner among all elements, including but not limited to, adaptation, mitigation, and means of implementation and support?***

As stated above, for the GST to be comprehensive and balanced the information that would be assessed should first cover all the key elements. It should originate from a variety of sources that are broadly regionally representative. Inputs from the IPCC, the Subsidiary Bodies, the Enhanced Transparency Framework, various adaptation communications, Party submissions, reports from operational mechanisms and other bodies established by the Convention, among others, should inform the GST. Inputs from non-state actors that shed additional light on collective actions and support should also be considered. A transparent process for determining which information would be relevant for consideration at the GST could be necessary to keep the inputs at levels that would be manageable and relevant.

The inputs should be in a form that would allow for assessment at the aggregate level. This would require the standardization of information to allow for aggregation. In instances where the inputs would have to be synthesized, the Secretariat could be mandated to organize it as they have done in the past. Where appropriate and useful, the inputs to inform the GST could also include information that have been downscaled from the aggregate level such as information on the impacts of climate change, particularly from the IPCC.

## **3. Modalities**

***(d) What modalities will ensure that the GST will be facilitative, open and inclusive but also efficient and effective? How will the information that is reported and communicated be processed?***

***(e) How will the CMA be assisted in conducting the GST? What bodies and processes are linked to the GST and in what way?***

***(f) What could be the most appropriate timeline for the GST? What could be its phases and streams, if any?***

The modalities that would ensure that the GST is facilitative, open, inclusive, efficient and effective can be drawn from experiences in the UNFCCC, the Structured Expert Dialogue (SED) in particular. The process should be led by the CMA as this would offer all Parties a chance to effectively participate in the process. A decision of the CMA could establish a body similar to the SED that could conduct the stocktake and report back to the CMA with a report and recommendations, in a timely manner.

The African Group envisages a process that begins about a year and a half before the CMA in 2023. The first or preparatory phase begins with the submission of all inputs to the Secretariat by or before 30th June 2022. This should give them adequate time to take stock of and review the submitted information, and where appropriate, process the inputs into synthesis reports, before the CMA in 2022. These draft synthesis reports can then be reviewed through a “technical process” at the CMA in 2022 where the assumptions and methodologies will be subjected to interrogation and review, to enhance understanding of the inputs. The process for determining which inputs should be considered from non-

state actors could also be undertaken at the 2022 CMA. This technical process could be in the form of an in-session workshop or a joint contact group.

The second phase would take place in conjunction with the meeting of the SBs in June 2023 and would involve a technical assessment of the inputs that would be separate from the policy and the political aspects to ensure the integrity of the review and its recommendations. This assessment would include the interrogation of the synthesis reports from the transparency framework on progress on implementation, and the aggregate impacts of the proposed NDCs for the upcoming NDC cycle. The assessment would be done in 3 phases, one for each of the 3 key elements (mitigation, adaptation and means of implementation), by a body similar to the SED that would be open to the participation of all Parties and observers. There should be a final moment when the 3 streams would come together to finalize the reports. The outcomes of this phase should be in the form of a report that would include recommendations that would be considered with the policy and political aspects in the next and final phase.

The final or High-Level Phase, should begin prior to the 2023 CMA and involve decision-makers from the highest level of government. At the Heads of States level, the UN Secretary-General could raise awareness at the United Nations General Assembly or at other fora where they would be in attendance. At the CMA 2023, the outcomes of the technical stocktake would be considered along with the policy and political aspects in a process that should involve the Ministers.

#### **4. Outcome/outputs**

***(g) How to ensure that the outcome of the GST would inform Parties in 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?***

***(h) What information will support this outcome?***

The GST would have served its purpose if subsequent NDCs have been updated to bridge any identified gaps between the sum of the aggregate effort of Parties, and what science prescribes. This can be facilitated through a number of things. Firstly, a process in which all Parties have contributed to and effectively participated in, will strengthen their sense of ownership of the outcome and their need to act on the findings and recommendations.

Secondly, high-level participation in the stocktake itself would be important as again this would not only help raise awareness and understanding among this key group of stakeholders, but would also help stir self-mobilization of enhanced contributions.

The outcome of the GST should be a CMA decision that includes information on any identified gap, what and how much is required to bridge that gap, barriers and opportunities to address them, opportunities for international cooperation, and best practices, among others. A political declaration, at the highest level, pledging support for enhancing the NDCs by the Parties would also be desirable.

All Parties should then enhance and update their NDCs based on the outcomes of the GST and self-assess the updated version against the agreed equity framework to ensure their contributions are being made in light of equity, as mandated by Article 2.2 and 14.1, before finalizing their NDCs.



## **SUBMISSION BY THE REPUBLIC OF MALTA AND THE EUROPEAN COMMISSION ON BEHALF OF THE EUROPEAN UNION AND ITS MEMBER STATES**

Valletta, 02/05/2017

### **Subject: Submission on the Global Stocktake**

The European Union and its Member States (EU) welcome the opportunity to submit further views in relation to the Global Stocktake (GST), stemming from APA conclusions and the discussions on this item at the second part of the first session of the Ad Hoc Working Group on the Paris Agreement in Marrakesh.

This submission builds on and should be read together with the previous submission (7 October 2016) where the EU elaborated some detailed views on the GST's inputs and modalities.

### **1. Introduction**

Under APA agenda item 6, Parties have made deliberations and submissions during the previous sessions which have shed some light on the starting points and the overall approach to conduct our work. These relevant aspects are reflected in the questions included in the APA Conclusions that were adopted in Marrakech.

The EU's approach towards this submission takes such starting points into account and also intends to build a complete narrative and overview of the GST role. Article 14 of the Paris Agreement is very clear on determining that the outcome of the GST shall inform Parties in updating and enhancing their Nationally Determined Contributions (NDCs).

Hence, to understand the role of the GST as a key milestone of the ambition cycle we need to have a shared understanding of what the outcome implies for Mitigation, Adaptation and Finance/Means of Implementation. Only then we will be able to elaborate on the outputs that can help achieve such outcome and the inputs necessary towards that end.

#### **1.1. Addressing the outcome of the GST for mitigation, adaptation and finance flows/means of implementation and support**

As stated in Article 14, the GST shall take stock of the implementation of the Paris Agreement to assess the collective progress towards achieving the Agreement's purpose and its long-term goals. This means that in 2023 (and every 5 years thereafter) we will need to have a shared understanding of how much progress Parties have achieved collectively, and what challenges and opportunities we face in enhancing future global action. The GST will be undertaken in the light of best available science and of equity. While it is not the objective of the GST to settle scientific nor equity questions, different aspects of both science (for example through the IPCC) and equity can be relevant to the GST's deliberations.



**The outcome of the GST (as outlined in the EU submission from 7 October 2016), should raise the public awareness and the political will necessary to trigger the domestic processes that will update and enhance future nationally determined actions and support, and to enhance international cooperation in line with the Agreement's long-term goals.**

To properly assess progress, mitigation, adaptation and finance/means of implementation and support must be considered in a balanced and tailored manner in the context of the purpose of the Agreement, the relevant long-term goals and the relevant provisions. We have therefore developed further considerations on each issue:

### **What will the outcome of the GST mean for mitigation?**

For mitigation, the GST is not an isolated event but part of a wider process aimed at achieving the long-term temperature goal in Article 2.1 (a) and the mitigation goal in Article 4.1. We have been calling that wider process taking place every five years the "**ambition cycle**", which has both international and domestic components.

**The expected outcome of the GST for mitigation is expressed in Article 4.9, which indicates that each Party shall communicate an NDC every five years that has been informed by the GST – hence the GST is the starting point of the ambition cycle. The EU expects that the CMA will confirm that these NDCs shall be communicated 9-12 months prior to the relevant CMA (in 2025 and every five years thereafter). The EU expects that each Party will undertake a domestic process designed to respond to the outcomes of the GST within that timeframe.**

Expectations of the mitigation component of the NDCs are further set by:

- Article 4.2 (each Party shall prepare, communicate and maintain NDCs that it intends to achieve)
- Article 4.3 (each Party's successive NDC will represent a progression beyond its current NDC and reflect its highest possible ambition)
- Article 4.4 (Developed country Parties are encouraged to take the lead by undertaking economy wide reduction targets and developing countries are encouraged to move over time towards economy-wide mitigation targets)
- Article 4.8 (all Parties shall provide information necessary for clarity, transparency and understanding of their NDC).

Once communicated, NDCs will be recorded in a registry (Article 4.12). Parties shall account for their NDCs (Article 4.13) and each Party's progress towards achieving its NDC will be tracked by the enhanced transparency framework established in Article 13. The information provided under the transparency framework will inform the GST as per Article 13.5. Additionally, the GST could also be informed by long-term low greenhouse gas emission development strategies (Article 4.19).

Both the inputs that will be feeding into this process together with its outputs will provide sufficient information to prioritize, focus and continuously strengthen collective efforts. As per Article 4.5 indicates, we recognize that enhanced support and cooperation will allow for higher



ambition. Moreover, cooperation and support should be in accordance with the provisions of Articles 9, 10 and 11.

### **What will the outcome of the GST mean for Adaptation?**

For adaptation, the GST will be a key moment to reflect upon progress towards the Agreement's long-term adaptation goals in Article 2.1(b) and in Article 7.1.

**Like for mitigation, the GST as it applies to adaptation should not be regarded as a stand-alone event, but as part of an "improvement cycle" that enhances adaptation activities at regional, national and local levels, as well as international cooperation.**

While Parties are encouraged, under Article 7, to, as appropriate, submit and update periodically an adaptation communication, which then also will be recorded in a public registry (Article 7.12), there is no similar requirement, as under Article 4 for mitigation, that this be done on a five-year cycle in response to the GST.

Nevertheless, the GST will play an important role in recognizing adaptation efforts (Article 7.14 (a)), reviewing the adequacy and effectiveness of adaptation and support (Article 7.14 (c)), and the overall progress made in achieving the global goal in Article 7.1 (Article 7.14 (d)). In performing this role, the GST will also be informed by the transparency framework (Article 13.5 & 13.8). In this regard, the EU supports the strengthening of the transparency and monitoring and reporting system for adaptation, recognizing that information will be qualitative rather than quantitative and expecting that depth and comprehensiveness of information provided will improve over time, as we learn in successive reporting efforts. Regular communication of information on adaptation action and planning, including priorities, implementation and support needs, plans and actions, will provide the basis to exchange information, share lessons learned and enable and support implementation of adaptation action on the ground.

It is important to note that information on adaptation actions communicated by Parties and emerging from the GST should also be useful to other relevant bodies, processes and programmes that contribute to sustainable development and which have mandates to enhance adaptive capacity, strengthen resilience and reduce vulnerability, including bodies under the UNFCCC as well as outside, such as UNISDR, UNCCD, UNCBD, UNEP, UNDP, the World Bank, etc...

In the EU's view information communicated and considered by Parties together with the outputs of the GST will help to prioritize focus and continuously strengthen collective efforts and cooperation (e.g. Article 7.7). Moreover, such cooperation will include support from a wide variety of sources (e.g. Articles 7.8, 7.13, 9.4, 10.2, 11.3), public and private, with a view to enhancing the implementation of adaptation action (Art. 7.14 (b)) in an effective and efficient manner.

It also needs to be highlighted that adaptation action is country and context specific, and that difficulties are to be expected in assessing the progress towards achieving those long-term goals collectively. In this regard, mandates given to the Adaptation Committee in 1/CP.21 to work on modalities and methodologies also in relation to the GST might help the process in elaborating further on how best to assess the collective progress of Parties on adaptation.



## **What will the outcome of the GST mean for finance/means of implementation and support?**

**For finance flows/means of implementation and support the outcome of the GST should inform Parties on how to continuously progress towards achieving the Paris Agreement goal of shifting finance flows and how means of implementation and support can most effectively be used to achieve the purpose and the Long-Term goals of the Agreement.**

Effective use of means of implementation and support enables Parties to achieve the long-term goals of the Paris Agreement. The GST should maximize momentum and lead towards Parties undertaking measures and enhancing support that will cost-effectively incentivize and support this shift in finance flows and progress on means of implementation and support in accordance with Articles 9, 10 and 11, drawing on a range of quantitative and qualitative evidence on interventions that have led to transformational change. The GST should draw lessons from how Parties have mobilized and used means of implementation and support in line with article 9 paragraphs 1, 2 & 3, article 10 paragraphs 1 & 6 and article 11 paragraphs 1 and 3, to support the shift of financial flows from high greenhouse gas emissions and climate vulnerable development (including a shift in technologies) towards low greenhouse gas emissions and climate resilient development). This evidence would include, to the extent possible, a full overview of the aggregate financial support provided under the Agreement, as set out by the transparency framework in Article 13.6.

All Parties should be able to consider how they can best contribute towards this shift of financial flows and progress on means of implementation and support in accordance with different national circumstances. This could include the application of best practices in creating enabling environments through mainstreaming climate in domestic plans which will include policy and investment decisions and/or international public investments, greater mobilization of climate finance including from alternative sources, building institutional and human capacity for action on climate change, accelerating and enabling innovation and technology transfer, collaboration on research and development, and engaging institutional investors. These exchanges can significantly contribute towards strengthening cooperative action on technology development and transfer as well as in capacity building.

### **1.2 Addressing the output of the GST for mitigation, adaptation and finance/means of implementation and support**

The outputs of the GST should contain the necessary information to draw political attention to what extent collective ambition must increase and what are the opportunities to do so. Each of the technical streams of the GST (mitigation, adaptation and finance/means of implementation and support) should produce a summary report that will flow into the political phase and convey a strong and clear political message to the outside world. The political phase should ultimately translate into a declaration of support to address the recommendations from the technical phase for all three streams.

**For mitigation, the GST output should highlight:**

- The environmental and socio-economic benefits, consistent with sustainable development, achieved through reaching the Agreement's long-term temperature goal as well as the mitigation goal mentioned in Article 4.1
- Evidence on the level of effort of the existing pledges, commitments, and NDCs in face of the global mitigation action required in accordance with best available science to achieve the Agreement's long term temperature goal as well as the mitigation goal mentioned in Article 4.1
- Collective progress by Parties and efforts to date as well as experiences in overcoming barriers to the implementation of mitigation policies
- Policies, measures, cost-efficient solutions as well as other initiatives with high mitigation potential

**For adaptation, the GST output should highlight:**

- Information on the state of the art of adaptation, including on progress in the implementation of Parties adaptation actions and planning processes at all levels, in international cooperation as well as challenges ahead
- Information on progress achieved regarding the adequacy and effectiveness of adaptation and support provided for adaptation
- Good practices to offer around options for increasing adaptation action
- The need for and benefits of mainstreaming adaptation action into development planning

As concerns the scoping level, the EU believes that representing information at the regional level (considering e.g. the approach adopted in the IPCC reports on regional risks and impacts) could also deliver valuable results.

**For finance flows/Means of implementation the GST output should highlight:**

- Information on the progress achieved towards achieving the long-term goal of shifting finance flows
- Quantitative information of the current state of climate finance flows, both domestically and internationally, at a global level, encompassing low-carbon and climate resilient investments, informed among others by up to date accounting methodologies with the aim of sharing best practice.
- Collective progress by Parties and efforts to date as well as experiences in mobilization of means of implementation and support
- Concrete examples of measures, policies and solutions for attracting and mobilizing climate finance from bilateral, multilateral and private sources with the aim of sharing best practice; including qualitative information on the ability of transformational change to be incentivized from different types of intervention.
- Information on the progress made on implementing capacity-building plans, enabling environments for technology development and transfer and all other policies, actions or measures to implement the Paris Agreement



These outputs could have a strong role in further promoting collaboration amongst Parties in the context of international cooperation and support by raising awareness towards priority areas and specific needs.

## 2. Addressing the inputs and context

Across all three issues, we should keep the process manageable with regard to inputs. **We believe that the open-ended list in para 99 (a) of 1/CP.21 captures the essential categories of information. As to the sources of this information, we believe that, in addition to the latest reports of the IPCC and relevant reports of the subsidiary bodies, these sources should include:**

**For mitigation**, an up to date synthesis report prepared by the Secretariat, describing the overall effect of the NDCs communicated by Parties (in the previous round) on the basis of information that provides clarity, transparency and understanding of these NDCs; as well as information from the transparency framework on Parties' progress towards achieving their NDCs, including reporting requirements under Convention and KP in the context of the first GST..

**For adaptation**, synthesis report(s) by the Adaptation Committee and/or the UNFCCC Secretariat on the state of adaptation efforts, including adaptation communications (NAPS, NDCs, and/or a national communication); other relevant reports of the Adaptation Committee or LDC Experts Group; as well as information from the transparency framework on Parties' adaptation actions under Article 7. In addition, the EU sees value in also considering information that is being generated through other processes, e.g. the Sustainable Development Goals and the Sendai Framework for Disaster Risk Reduction.

**For finance flows/means of implementation and support**, information related to finance flows beyond means of implementation following up on the objective of Article 2.1 (c), including private sector flows will need to come from multiple sources. In light of Article 9.6, where possible this information could be fed in through the Standing Committee on Finance's biannual assessment report and through the modalities, procedures and guidelines developed under the transparency framework. In this context we would also see captured input on concrete policies and measures to shift finance flows, as well as best practices in this regard. To the extent possible, the transparency framework should provide a full overview of the aggregate financial support provided and mobilized (Article 13.6).

For **technology development and transfer** the information related to the activities guided by the Technology Framework will be relevant. With regards to efforts related to support on technology development and transfer referred to in Article 10.6, the annual reports of the Technology Mechanism will be a source of the available information (in addition to the Transparency Framework), including through its periodic assessment as well as relevant parts of the reports of the operating entities of the Financial Mechanism. In addition the Technology Mechanism will be periodically assessed. The modalities of the periodic assessment are currently being elaborated. The timing of the periodic assessment could be aligned in order to be a useful input to the GST.



For capacity building, the information related to the implementation of the Capacity Building Framework including its regular comprehensive reviews and annual synthesis reports to the SBI by the Secretariat based on regular communications of Parties and submissions by Parties and non-party actors, as well as information in the Capacity Building Portal, regular communications of Parties as stated in Article 11.4 and relevant reports of the Paris Committee on Capacity Building and other relevant UNFCCC bodies provide sources of information regarding efforts related to support on capacity building (in addition to the Transparency Framework). In addition, the EU sees value in also considering information that is being generated through other processes, e.g. UNCCD, CBD, the Sustainable Development Goals, Regional Collaboration Centres.

We should explore how and where in the process inputs from non-state actors and cooperative initiatives are relevant when developing the above mentioned modalities, outputs and inputs for the global stocktake. We should elaborate on how engagement of non-Party stakeholders, international expert organizations and UN agencies in GST, as appropriate, could contribute to raising awareness of potential, availability of solutions, cooperative actions and opportunities for increased climate action in a way that is manageable and complimentary to other processes designed to ensure non-Party stakeholder participation.

### **3. How can the GST be facilitative, open and inclusive?**

The EU had presented initial ideas on potential modalities of the GST in its submission of 7 October 2016. Additional options are captured below as food for thought for our discussions.

- Technical phase could take place in the format of technical dialogues every 5 years with three parallel streams under an SB agenda item, that would feed a non-negotiated outcome directly to the CMA.
- These three streams would include one for mitigation, another for adaptation and one for Finance/Means of Implementation and support in order to be able to address the specificities of each element.

At this point, we are open to consider different options regarding who could (co) chair each one.

- The political phase should promote a shared political understanding of the key issues, challenges and opportunities in order to inform and create momentum for domestic processes that underpin the enhancing and updating of actions and support both collectively and individually. This could be captured in the form of a political declaration and/or CMA decision.
- In addition to the arrangements decided by the CMA decision for the GST, political level engagement, including through events outside the CMA or the UNFCCC during the course of the ambition cycle can make important complementary contribution to its success.

## Submission of Views

**By the Republic of Rwanda on behalf of the Member States of the Central African Forestry Commission (COMIFAC) on APA agenda item 6**

**March 2017**

APA invited Parties to submit their views on agenda item 6.

The member states of COMIFAC: Republic of Burundi, Republic of Cameroon, Central African Republic, Republic of Congo, Republic of Gabon, Democratic Republic of Congo, Republic of Chad, Republic of Equatorial Guinea, Republic of Rwanda, and the Republic of Sao Tome and Principe; that harbors the second largest tropical forest block welcome the possibility to present its views on APA agenda item 6.

These countries hereby express their willingness to work with the co-chairs to accompany the entry into force and implementation of the Paris Agreement.

They also recall the principle of common but differentiated responsibility in the context of the overall effort to reduce / stabilize the concentration of greenhouse gases in the atmosphere, without prejudice to Article 3 (2) of the Convention.

The following views are expressed:

**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; and (b) development of the modalities of the global stocktake”**

We are pleased to present our views as outlined below.

### Linkages and context

(a) How to understand and assess collective progress towards achieving the purpose of the Paris Agreement and its long-term goals? How will this be done 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?

The GST should be driven by the Parties and not by an external body. The different modalities and procedures must be adopted by consensus in order to ensure inclusiveness. To this end, it could be developed by an ad hoc committee responsible for producing a technical report that could be presented to Parties, during COP, for adoption.

### Sources of input

(c) How to capture information relevant for assessing collective progress towards achieving the purpose of the Paris Agreement and its long-term goals from different sources of input in a comprehensive, manageable and balanced manner among all elements, including but not limited to, adaptation, mitigation, and means of implementation and support?

Scientific sources of information must rely primarily on the work of the IPCC. Other information should be obtained from submissions from Parties, National Communications, biennial reports and any relevant reports of Parties under the auspices of the Convention.

### Modalities

(d) What modalities will ensure that the GST will be facilitative, open and inclusive but also efficient and effective? How will the information that is reported and communicated be processed?

To ensure the transparency and effectiveness of the global review, the process must be led by the Parties themselves and carried out by the IPCC.

(e) How will the CMA be assisted in conducting the GST? What bodies and processes are linked to the GST and in what way?

The bodies involved are, at a minimum, the Standing Committee on Finance (SCF), the Capacity Building Initiative for Transparency (CBIT), the Climate Technology Center and Network (CTCN), the Capacity Building body. Thus, they could be associated with the Ad Hoc Special Committee.

(f) What could be the most appropriate timeline for the GST? What could be its phases and streams, if any?

COMIFAC supports a period of every 5 years as provided for in the Paris Agreement.

### Outcome/outputs

(g) How to ensure that the outcome of the GST would inform Parties in 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?

The results should enable each country to take clear actions on the basis of relevant indicators. The situation should be understood in each sector. It is necessary for the GST to understand the situation of each sector.

**COMIFAC member countries reserve the right to offer additional views to this submission.**

## Submission by the Arab Group

### On the Work of the Ad-Hoc Working Group on the Paris Agreement (APA) under APA Agenda Item 6

Views on matters relating to the global stocktake referred to in Article 14 of the Paris Agreement:

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

Submitted by Saudi Arabia

On behalf of the Arab Group

The Arab Group welcomes the opportunity to submit its views on “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; and (b) development of the modalities of the global stocktake” pursuant to paragraph 25 a-h conclusion of the Ad Hoc Working Group on the Paris Agreement on the second part of its first session.<sup>1</sup>

GST is an opportunity for the comprehensive assessment of Parties’ actions and the support provided for those actions going forward, within the context of the Paris Agreement and the achievement of the objective of the Convention.

#### **Context**

***(a) How to understand and assess the collective progress toward achieving the purpose of the Paris Agreement and its long-term goals? How will this be done in a comprehensive and facilitative manner considering mitigation, adaptation and means of implementation and support, while in the light of equity and the best available science?***

In line with the description provided in Article 14 of the Paris Agreement, GST should be established on the following **key guiding principles**:

- GST must be conducted in accordance to the principles and provisions of the Convention and relevant provisions of the Paris Agreement, emphasizing that climate action is conducted in the context of sustainable development and poverty eradication.
- GST must be comprehensive, including mitigation, adaptation, and the means of implementation and support
- GST must be facilitative, party-driven, ensuring the nationally determined approach achieved in the Paris Agreement and honoring the nationally determined nature of Parties actions
- GST must take place in light of equity, considering individual developing country Parties national circumstances and limitations
- GST must take into account the best available science
- GST will inform Parties in updating their actions and support in a nationally determined manner that remains flexible and non-intrusive
- GST will take stock of the implementation of the Paris Agreement and should be based on the progress that has been made, and not an ex-ante assessment of the subsequent NDCs

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<sup>1</sup> [FCCC/APA/2016/4](https://www.unfccc.int/documents/1365202)

The Arab Group believes that achieving the purpose of the Paris Agreement is to enhance the implementation of the Convention and its objective, which is to achieve the “stabilization of greenhouse gas concentration in the atmosphere at a level that would prevent dangerous anthropogenic interference with the climate system. Such a level should be achieved within a time frame sufficient to allow ecosystems to adapt naturally to climate change, to ensure that food production is not threatened and to enable economic development to proceed in a sustainable manner.”<sup>2</sup> Therefore Parties collective effort is to ensure the fulfillment of the objective of the Convention in addition to the long-term goals of the Paris Agreement. The Agreement aims to strengthen the global response to the threat of climate change, in the context of sustainable development and efforts to eradicate poverty. Therefore, sustainable development goals identified by the UN, will be an important driver to achieving the Paris Agreement.

This is the context that informs the Arab Group’s understanding of GST and what purpose it serves, and it is imperative that Parties arrive at a common understanding of the context of GST before furthering discussion on its design.

Moreover, as the purpose of GST is to assess progress towards achieving all the global goals of the Paris Agreement, it will therefore take stock of the collective progress towards the global goal on adaptation (Article 7, paragraph 1) and the global response to the threat of climate change in the context of sustainable development and poverty eradication (Article 2), and the long term vision of fully realizing technology development and transfer (Article 10, paragraph 1). This highlights the importance of identifying and giving equal weight to all climate action, including mitigation, adaptation and the means of implementation and support for those actions, and will ensure the comprehensiveness and balance of GST.

Additionally, as GST is focused on the collective progress of Parties, it should help identify barriers related to the implementation of the Paris Agreement, especially with regards to helping developing countries overcome obstacles in order to enhance their actions. It should also identify the impact of those actions and the effects of the implementation of response measures under the Agreement to ensure a cohesive understanding of actions and impact.

***(b) How to increase understanding of the linkages between Article 14 and other Articles of the Paris Agreement, which are directly or indirectly linked to the global stocktake (GST)?***

There is a distinct difference between Articles that are directly and indirectly linked to the GST. This difference should be reflected in the design of the technical work for GST. Articles that are directly linked will be the cornerstones of the design of GST, while Articles that may be indirectly linked may serve a purpose of further consideration.

GST is directly linked to several Articles in the Paris Agreement:

- Article 2 provides the purpose and the guiding principles of the Paris Agreement, and the linkage to the Convention.
- Article 3 identifies Parties common understanding of nationally determined contributions to the global response to climate change to include ambitious efforts as defined in Articles 4, 7, 9, 10, 11 and 13, and therefore establishes that climate action is comprehensive in nature

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<sup>2</sup> See full Convention text, at [http://unfccc.int/files/essential\\_background/convention/background/application/pdf/convention\\_text\\_with\\_annexes\\_english\\_for\\_posting.pdf](http://unfccc.int/files/essential_background/convention/background/application/pdf/convention_text_with_annexes_english_for_posting.pdf)

- Article 7 paragraph 14 identifies that GST needs to recognize adaptation efforts of developing countries, that it will enhance the implementation of adaptation action, and will review the effectiveness of adaptation and support provided for it. It will also review the overall progress made in achieving the global goal on adaptation, and raising the resilience to adapt to a below a 2 degree world.
- Article 9 paragraph 6 identifies that GST will account for the information provided by developed parties on climate finance efforts
- Article 10 paragraph 6 identifies that GST will account for support on technology development and transfer to developing countries.
- Article 13 paragraphs 5 and 6 establish that GST will be informed by transparency framework and the financial support provided.

### **Sources of Input**

***(c) How to capture information relevant for assessing collective progress towards achieving the purpose of the Paris Agreement and its long-term goals from different sources of input in a comprehensive, manageable, and balanced manner among all elements, including but not limited to adaptation, mitigation and the means of implementation and support.***

Key sources of input for GST have been identified in paragraph 99 of Decision 1/CP 21 and in several articles in the Paris Agreement:

- The overall effect of NDCs as communicated by Parties
- The state of adaptation efforts, support, exercises and priorities from the communications referred in Articles 7 paragraph 10-11, which includes National Adaptation Plans (NAPs), National Communications (NCs) and NDCs. More specifically, the state of adaptation efforts includes:
  - Recognition of adaptation efforts of developing country Parties
  - Enhancement of the implementation of adaptation action
  - Review of the effectiveness of adaptation & support provided
  - Review of the overall progress made in achieving the global goal on adaptation
- Mobilization and provision of support
- Reports of the International Panel on Climate Change (IPCC)
- Reports by subsidiary bodies under the UNFCCC
- Information provided by developed countries on climate finance efforts
- Efforts related to support on technology development and transfer for developing countries

The Arab Group believes these sources of input, extracted from the Paris Agreement and paragraph 99 of Decision 1/CP 21 provide a holistic and comprehensive account of Parties' collective progress towards achieving the purpose of the Paris Agreement in enhancing the implementation of the Convention and its objective.

### **Modalities**

***(d) What modalities will ensure that the GST is facilitative, open and inclusive but also efficient and effective? How will the information that is reported and communicated be processed?***

***(e) How will the CMA be assisted in conducting the GST? What bodies and processes are linked to the GST and in what way?***

***(f) What could be the most appropriate timeline for the GST? What could be its phases and streams, if any?***

GST is a process to take stock of the Paris Agreement, assessing the overall progress towards achieving its purpose and the ultimate objective of the Convention. This process, which will take place in 2023 and every 5 years from then on, must remain comprehensive, facilitative, and at a global level, honoring the nationally determined approach achieved in the Paris Agreement in light of sustainable development, equity and the best available science.

Establishing a bottom-up system is more resilient and flexible to meet the objective of GST, and providing such flexibility to Parties enables them to better assess their actions in a nationally determined manner. GST should include an aggregation of collective inputs, as defined above, and a communication of those inputs to Parties in order to inform their actions in a nationally determined manner. The mechanism in place should ensure sustainable development, equity, considering individual developing Parties national circumstances and limitations, as well as take into account the different roles and responsibilities between developing and developed Parties, highlighting how developed countries are taking the lead. Additionally, this mechanism should not entail any undue burden on Parties, and its outcome should be recognized and agreed to by all Parties. Therefore, the process needs to be concise and pragmatic. The CMA should conduct the GST, and its time frame should be limited.

As GST will be designed to inform Parties in updating their actions, the process must be one that encourages and incentivizes greater ambition. Establishing a process of positive communication that not only captures aggregated gaps, in light of sustainable economic development, but also potential opportunities for cooperation, provision of support and the transfer of technology and technical assistance to developing Parties is essential.

Finally, it should also take into account the best available science, as provided by the IPCC, which is the highest scientific body, providing objective, peer-reviewed science and is therefore the best source of technical input.

### ***Outcome***

***(g) How to ensure that the outcome of the GST would inform Parties in 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.***

***(h) What information will support this outcome?***

To ensure that the outcome of the GST is informative, in a nationally determined manner, and enhances cooperation for climate action, it must deliver positive information that can be used by Parties. Information on good practices and positive experiences as well as what developing Parties lack in terms of support (finance, technology, capacity building) to enhance their actions, and the impact of climate action (response measures) and how to address them are all necessary to provide a cohesive picture of action and support needed. Moreover, in order to ensure comprehensiveness, GST should also highlight pre-2020 ambitions and gaps.

The outcome of GST can be a reference to Parties in identifying areas for international cooperation in addressing climate change, and this outcome needs to be agreed to by all Parties.

Finally, the Arab Group believes that Parties should arrive at a common understanding of the outcome of the GST in order to ensure that sources of input and modalities provided are fit for purpose and relevant to that outcome.