

Ad Hoc Working Group on the Paris Agreement

Second part of the first session, Marrakech, 7-14 November 2016

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

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

Informal note by the co-facilitators

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

Overview of the informal consultations

By 11 am on 14 November 2016, Parties had held six informal consultations on this item in Marrakech. During these meetings, Parties provided general views on this agenda item, as well as specific views on the identification of sources of input and development of modalities for the global stocktake. At these meetings, the co-facilitators, on their responsibility prepared and presented two documents which have been further revised based on comments from Parties and are both annexed to this note.

The informal consultations devoted time to discuss possible further work on this item, with Parties providing a range of views including on technical work (in-session technical workshop and/or technical paper by the secretariat)¹ and a possible call for focused submissions based on guiding questions. The co-facilitators have prepared guiding questions, which will be presented to Parties for their input at the last meeting on this item scheduled for 12 – 13 pm today (14 November 2016).

An initial version of this informal note was made available on 10 November 2016, informed by interventions made and submissions from Parties. Parties had the time to discuss its content during informal consultation meetings, and based on those conversations this revised note has been reissued.

Reflections of the Co-Facilitators on the discussions in the informal consultations:

Approaches to conduct the work: during the informal consultations, Parties identified several starting points and approaches that could be used for conducting the work under this agenda item, including:

- Start by identifying possible additional sources of input to those already identified in the Paris Outcome (e.g., decision 1/CP.21, paragraph 99). Continue with the development of the modalities for the GST, bearing in mind the elements of the modalities mentioned in the relevant provisions of Paris Outcomes. Finally, identify the outputs of the GST that will lead to the outcome of the GST stated in the Paris Agreement;
- Start from clarifying the outcome of the GST, which will shed light on the modalities of the GST and the sources of input needed in order to fulfil that outcome, so that GST is fit-for-purpose;
- Discuss and clarify conceptual issues before focusing on identification of sources of input and development of modalities. Examples of such issues include: a common understanding of collective progress and its context, ways to enhance collective progress by enhancing international cooperation as well as by promoting best practises, and the potential information that the GST might deliver.

To facilitate these discussions, we prepared the flow diagram contained in annex I to this note, which includes some guiding questions on possible issues for further consideration relating to sources of input, modalities and outcome of the GST. In a first version of the diagram a distinction was made between

¹ Most Parties felt it was too early to prepare any technical papers and/or conduct technical workshops.

sources of input and the **information** that needs to be extracted from those sources as well as between the **outputs** of the GST² and its **outcome** stated in Article 14.3 of the Paris Agreement (box 1). The diagram was revised, based on the views provided by Parties, and uses at this stage only the elements mentioned in the Paris Outcomes. The guiding questions were also revised to reflect the discussions during the informal consultations.

Box 1: Article 14 of the Paris Agreement

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

Some Parties were of the view that the ideas presented could be grouped under the following categories: linkages and context, sources of input, modalities and outcome. Others see all views grouped under sources of input and modalities, in line with the mandate from the COP for this agenda item. In this note four categories are used without prejudging how Parties will like to structure their future work under this agenda item.

Linkages: the discussions at the informal consultations stressed the cross-cutting nature of the GST. While the main provisions of the Paris Agreement on the global stocktake (GST) are contained in Article 14 (box 1 above), there are many other articles of the Agreement and paragraphs of decision 1/CP.21 that referred directly to the GST or are indirectly linked to it. To facilitate the discussion on the **direct and indirect linkages**, which may be relevant for the identification of sources of input and the development of modalities for the GST, we developed the diagram contained in annex II to this note. Some Parties were of the view that indirect links to the GST should not be included in the diagram. Therefore, the diagram was revised and such links are written in *italics* fonts. Note that some Parties provided views in their submissions on these interlinkages.

Another category of linkages discussed relates to the how ongoing work under the APA and SBs could affect the sources of input and the modalities of GST. For example, some Parties have seen interlinkages with the work of APA under agenda items 3 (NDCs), item 4 (Adaptation communications), item 5 (Transparency) and item 7 (Compliance) and with the FD2018.³

As regards the context for the GST, some Parties were of the view that Article 14 provides all the context needed for conducting the GST (i.e., 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). Others were of the view that the linkages with other articles provide additional context (e.g., Article 2). Yet, another group of Parties suggested it is important to understand that this context includes other aspects such as the principles of the Convention.

² The submissions made by Parties for this session contain many suggestions on possible outputs of the GST. See FCCC/APA/2016/INF.4, Add.1, Add.2 and the submissions by Indonesia and Democratic Republic of Congo on behalf of the LDCs and Mali on behalf of the AGN on this matter available on the submission portal at <<http://www.unfccc.int/5900>>.

³ Details on this matter are presented in table 1, under Modalities.

Although Parties identified some possible sources of input beyond those already identified in decision 1/CP.21, paragraph 99, they did not discuss them in detail. Many Parties were of the view that an initial non-exhaustive list of sources of input should be considered, with the understanding that this list could be completed prior to each GST, bearing in mind the need to maintain a manageable process. Many Parties emphasized the need to maintain a balance between IPCC and non-IPCC inputs. Some Parties provided suggestions for generic as well as specific sources of input (mitigation, adaptation and means of implementation and support) and the need to identify sources of input that would allow for the assessment of progress in the light of equity.

As regards the modalities of the GST, discussions focused on main elements such as the nature of the GST (a process with phases and workstreams), its duration and timelines, potential institutional arrangements for assisting the CMA with conducting the GST, linkages with other processes and ongoing work and the aim, format and characteristics of outputs. Several Parties were of the view that it is too early to discuss such details.

The outcome of the GST, were discussed at some level of detail. Most of the views expressed referred to clarifying expectations for the outcome of GST.

Table 1 below groups and summarizes the main views presented by Parties under the following categories: linkages and context, sources of input, modalities and outcome. Under each category, the presentation of these views is not in any order of importance nor does not imply any consensus amongst Parties on the them.⁴ Note that in the table we have not attempted to distinguish between elements already agreed in Paris and those proposed by Parties.

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

<p>Linkages and context (some Parties have seen this as separate category while other consider this as part of modalities):</p> <ul style="list-style-type: none"> • On the principles that should guide the GST, Parties restated some of those agreed in Paris and proposed additional ones: Party-driven, nationally determined, <i>comprehensive, facilitative</i>; build trust, be transparent; <i>in the light of equity and the best available science</i>, CBDR-RC; historical responsibility and carbon budget sharing; timely; balanced, tailored and holistic manner; communicate clear and accurate picture of collective progress; action-oriented; ownership; <i>sustainable development</i>; <i>eradicate poverty</i>; climate justice; GST as part of the ambition mechanism; <i>PA Articles 2 and 3</i>; positive information, motivation, mutual encouragement, learning by doing, principles of the Convention, general understanding of collective progress and its context. • On interlinkages, two aspects were discussed: <ul style="list-style-type: none"> ○ Clarify any interlinkages between sources of input, modalities and outcomes also to (e.g., APA agenda items 3 (NDCs), item 4 (Adaptation communications) and item 5 (Transparency) and item 7 (Compliance) and the FD2018) ○ Links to other Paris Agreement articles/provisions including Article 2.
<p>Sources of input</p> <p>Decision 1/CP.21</p> <p>99 <i>Requests the Ad Hoc Working Group on the Paris Agreement to identify the sources of input for the global stocktake referred to in Article 14 of the Paris Agreement and to report to the Conference of the Parties, with a view to the Conference of the Parties making a recommendation to the Conference of the Parties serving as the meeting of the Parties to the Paris Agreement for consideration and adoption of at its first session, including, but not limited to:</i></p>

⁴ Given that this table contains a summary of the main views expressed is not a complete reflection of all Parties' view on GST. Further details are available in the submissions made for this session.

(a) *Information on:*

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

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

(iii) *The mobilization and provision of support;*

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

(c) *Reports of the subsidiary bodies;*

- **The approach for identifying sources of input:**
 - Build an initial non-exhaustive list to be completed prior to each GST by: Parties/co-facilitators of technical expert groups/secretariat, bearing in mind the need to maintain a manageable process;
 - Be comprehensive and balance inputs between mitigation, adaptation and means of implementation and support
 - Selection of sources of input should be demand/question oriented (what then where is needed)
 - Prioritize official inputs from Parties and allow for input from non-State actors (NSA)
 - Balance between IPCC and non-IPCC
 - Need to identify sources of input that would allow for the assessment of progress in the light of equity (e.g. equity framework with indicators and indexes previously submitted, others);
- **Possible generic/overarching sources of input**
 - Information from enhanced transparency framework
 - Information from NatComs, BURs/BRs; NIRs; ICA reports; IAR reports)
 - Synthesis report on information from the transparency framework, the technical expert review and the compliance committee
 - Submissions from Parties and non-Party stakeholders prior to each GST
 - Secretariat SYR on overall effect of NDCs: backwards and/or forward looking
 - Latest reports (ARs and SRs) of the IPCC
 - Submissions from Parties and non-Party stakeholders
 - Report of the next periodic review
 - Relevant reports from other UN agencies, multilateral dev. orgs and regional agencies
 - Information on potential solutions (reports of TEMs)
 - Reports of the subsidiary bodies
 - NDCs
 - Sources of input that identify barriers to implementation,
 - Sources of input that identify pre-2020 gaps,
 - Sources of input that capture impact of action,
 - Sources of input that capture gaps between action & support
 - Information on impacts of actions
- **Possible specific sources of input for:**
 - Adaptation*
 - Information on overall effect of NDCs (relevant part of the synthesis report on NDCs)
 - Information on state of adaptation needs and plans, efforts, support, experiences and priorities from Adaptation Communications and transparency framework reports on impacts and adaptation
 - Relevant sections of the synthesis report on information from enhanced transparency framework
 - Synthesis report on adaptation communications
 - Output of the work of Parties using the modalities of the recognizing adaptation efforts (developed by AC and LEG)
 - Report of the AC, LEG, NWP, LDCF, WIM
 - Barriers to implementation & support

Mitigation

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

Means of implementation and support

- Information on mobilization and provision of support
- Relevant sections of the synthesis report on information from enhanced transparency framework
- Information on needs of support and gaps
- Reports of operating entities of the FM, SCF, AF, AC, WIM ExCom, TEC/CTCN, PCCB, as well as biennial communications by developed countries on indicative quantitative and qualitative financial information and communications, reports, NDCs by developing countries on financial, technology and capacity building needs
- Information on collective pace of transformation in technology, investment in low carbon development, consumption behaviour, institution and policy;
- Information on best practices, experiences and lessons learned;
- Information on potential barriers to implementation and the way to overcome them;
- Information on opportunities for international cooperation, in particular climate finance and technology innovation
- Report of the GCF on financial provisions
- Available information on efforts related to financial support provided by developed to developing countries
- Information from international financial institutions on climate proofing and climate resilience measures
- Sources of input that capture linkages and gaps between action & support

Modalities:

Decision 1/CP.21

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

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

- **The approach for clarifying the outcome:**⁵
 - What is the potential information GST might deliver? How to maximize the collective progress by enhanced international cooperation and promotion of best practices?
 - How it will inform the NDCs?
 - What information should be delivered by GST?
 - How to ensure that outcome of GST is balanced among Parties & elements?
 - What should be its format?
 - How will the output address gaps between action & support as well as impact of those actions?
 - How will the outcome address pre-2020 gaps?
 - How will the GST drive further ambition/ enhanced action?
 - How will GST recognise adaptation efforts of developing Parties?
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⁵ Also see annex I.

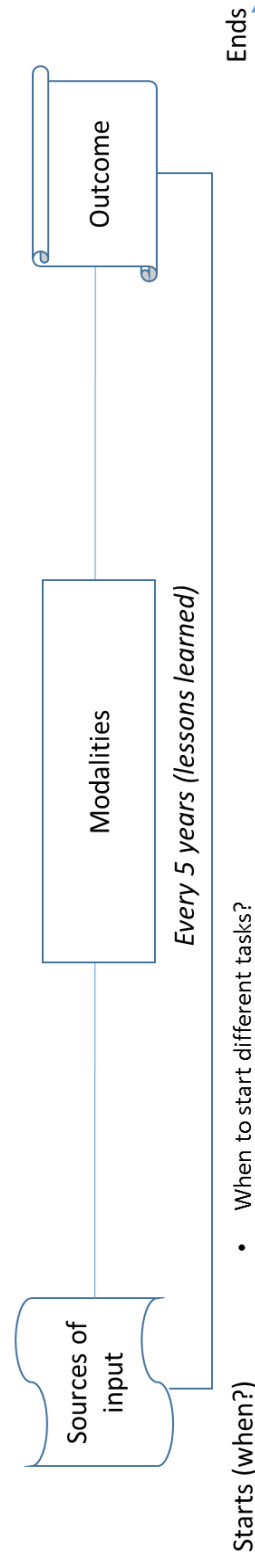
Annex I: Possible issues for further consideration on the global stocktake

GLOBAL STOCKTAKE (GST)

- Assess collective progress towards the Agreement's purpose (Art 2) and its long-term goal
 - In a comprehensive and facilitative manner
 - Consider mitigation, adaptation and means of implementation and support
 - In light of equity and best available science

Possible issues for further consideration

- *What inputs should feed into the GST?*
 - What additional sources of input are required?
 - Initial exhaustive list or not?
 - Should further inputs be specifically mandated?
 - How to ensure that sources of input are relevant, up-to-date, reliable, best available science?
 - What information is needed from the sources of input?
 - What preparatory work is needed?
 - Who will process the inputs?
 - Guidelines for preparing information?
 - *How should the GST be conducted and organized?*
 - How to assess progress in a comprehensive, holistic and balanced way (incl. eq. and BAS)?
 - Who conducts?
 - Who contributes?
 - How to address linkages?
 - How to ensure tailored consideration and effectiveness?
 - Relation with other bodies and NSA?
 - Phases (e.g., technical, political)?
 - Number of workstreams?
 - How to make it manageable?
 - *What should be outcome of the GST?*
 - What is the difference between outputs and outcome?
 - What information should be delivered by GST?
 - What products and format and who is the audience for products (technical/political)?
 - How will the GST drive future ambition?
 - How will the outcome address gaps between action and support, barriers and opportunities and impacts of those actions
 - How will the outcome address pre-2020 gaps?
 - How will GST recognise adaptation efforts of developing Parties?



Annex II - Illustration of mandates and provisions related to the global stocktakes

GLOBAL STOCKTAKE (GST)

- General – Art 14.1:
- Assess collective progress towards the Agreement’s purpose (Art 2) and its long-term goals
 - In a comprehensive, facilitative manner
 - In light of equity and best available science
 - Consider mitigation, adaptation and means of implementation and support
- Specific – Art 7.14:
- Recognize developing country adaptation efforts
 - Enhance implementation of adaptation action taking into account Parties’ adaptation communications
 - Review adequacy & effectiveness of adaptation action & support
 - Review overall progress in achieving the global adaptation goal

SOURCES OF INPUT (APA to identify, including:) (§ 99)

- Latest IPCC reports (§ 99 b)
 - Reports of the SBs (§ 99 c)
 - Transparency framework (Art 13, in particular 13.5-13.12)
- Information on the overall effect of NDCs (§ 99 a.i)
- Information on state of adaptation efforts, support, experience, priorities from adaptation communication ref. to in Art 7.10, Art 7.11 and reports per Art 13.8 (§ 99 a.ii)
 - Information on mobilization & provision of support (§ 99 a.iii)
 - Finance: Relevant info from developed countries and/or Agreement bodies (Art 9.6)
 - Technology: Available info (Art 10.6)

MODALITIES (APA to develop, § 101)

- Art 14.2:
- CMA to undertake GST
 - In 2023 and every five years thereafter unless otherwise decided by CMA (See also Art 14.1 and 7.14 above)
- General: How IPCC assessments can inform GST (SBSTA advice, §100)
- Specific: Modalities to recognize developing countries’ adap. efforts as per Art 7.3 (AC+LEG to develop, § 41)
- Mandates
- General: Modalities for reviewing adequacy & effectiveness of adap. action & support (AC+LEG in collab. with SCF, §45b)
- Specific: Modalities for periodic assessment of support to Technology Mechanism (SBI, § 69-70)
- Other relevant mandates and provisions (e.g. §§ 42, 43, 52, 55, 56, 57, 68, 80, 90, 91, 94)

OUTCOME

- GENERAL - Art 14.3: Shall inform Parties in:
- Updating and enhancing their actions and support and
 - Enhancing international cooperation
- SPECIFIC:
- NDCs – Art 4.9: Each Party shall communicate a NDC every 5 years and be informed by the outcomes of the GST
 - Other outcomes, including any relevant adaptation-specific outcomes (in line with Art 7.14 (see above) and relevant modalities and methodologies being developed (see MODALITIES above, e.g. § 41 and § 45b))

Abbreviations: Art = Article of the Paris Agreement; § = paragraph of Decision 1/CP.21; AC = Adaptation Committee; adap. = adaptation; APA = Ad Hoc Working Group on the Paris Agreement; collab. = collaboration; CMA = Conference of the Parties serving as the meeting of the Parties to the Paris Agreement; GST = Global Stocktake; IPCC = Intergovernmental Panel on Climate Change; LEG = Least Developed Countries Expert Group; NDC = nationally determined contribution; SCF = Standing Committee on Finance; SBSTA = Subsidiary Body for Scientific and Technological Advice; SBI = Subsidiary Body for Implementation

Every 5 years