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CEEW Issue Brief

Shaping the Global Stocktake Process Under the Paris Agreement

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An issue brief on ‘Shaping the Global Stocktake Process under the Paris Agreement’.

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Abbreviations

AC	Adaptation Committee
AF	Adaptation fund
APA	Ad Hoc Working Group on the Paris Agreement
ASIS	Alliance of Small Island States
BR	Biennial Report
BUR	Biennial Update Report
CBDR	Common but differentiated responsibility
CMA	Conference of the Parties serving as the meeting of the Parties to the Paris Agreement
COMIFAC	Member States of the Central African Forestry Commission
CTCN	Climate Technology Centre and Network
CTCN	Climate Technology Centre and Network
CTF	Common Tabular Format
FM	Finance mechanism
GCF	Green Climate Fund
GEF	Global Environment Facility
GST	Global Stocktake
HLE	High-Level Event
IAR	International assessment and review
ICA	International consultation and analysis
IPCC	Intergovernmental Panel on Climate Change
LDC	Least Developed Countries
LEG	Least Developed Country Expert Group
LMDC	Like-Minded Developing Countries
MPG	Modalities, procedures, and guidelines (MPGs)
NAPAs	National adaptation programmes of action
NAPs	National Adaptation Plans
NATCOM	National Communication
NDC	Nationally determined contributions
PCCB	Paris Committee on Capacity-building
SB	Subsidiary Bodies
SBI	Subsidiary Body for Implementation
SBSTA	Subsidiary Body for Scientific and Technological Advice
SCF	Standing Committee on Finance
SED	Structured Expert Dialogue
SIDS	Small island developing States
TEC	Technology Executive Committee
TEC	Technology Executive Committee
UNEP	United Nations Environment Programme



Executive Summary

One of the pillars of the Paris Agreement is the periodic Global Stocktake (GST) that would establish the collective progress and efforts of parties. There is a need to define a systematic approach that would capture the efforts of the Parties in a comprehensive manner and help in enhancing international cooperation on climate actions. Parties are currently reviewing and defining the various aspects (purpose, inputs and modalities) of the GST. In 2015, the Ad Hoc Working Group on the Paris Agreement (APA) was also established under decision 1/CP.21. It has been tasked with the preparation of recommendations to the Conference of Parties to the Paris Agreement (CMA) on various subject matters, at the first meeting of CMA in 2018. GST is the focus of Agenda item 6 of the APA.

This issue brief captures the views of developing countries on the matter of GST, as they seek (and require) flexibility in the reporting requirements, in light of the capacity that exists within. In general, developing countries are of the views that the GST should be party driven and conducted in a facilitative manner. It should be operationalised on the principle of equity and key principles enshrined in the Agreement. The GST should encompass efforts pertaining to mitigation, adaptation, loss and damage, and means of implementation and support (finance, technology & capacity building) and bring about a balance between these competing (for resources) actions.

A coordination mechanism needs to be developed between the GST process and the working agenda on (inter alia) transparency, NDCs, adaptation communication and compliance committee, as there are significant overlaps in the inputs and outcomes. Also, while discussing the modalities for the GST, existing institutional arrangements and reporting mechanisms under the UNFCCC must be utilized to the fullest. An implementation arrangement, such as the Structured Expert Dialogue (used pre-Paris) must be considered, to assist the CMA in driving the process of obtaining inputs from existing bodies and sources, as well as generating new evidences (wherever necessary). The process must remain bottom-up and make outcomes available on easily accessible public platforms (such as registries, web-portals). APA has identified three emerging models under which GST could operate. Phases (preparatory, technical and political) described under these three models are overlapping in nature, and would interact with each other defining a holistic approach.

Keeping aside the discussion on common but differentiated responsibility, equity and climate justice, there is a need to understand the barriers to achieving what was already committed (should there be a shortfall) and to enhancing the commitments. The GST must build upon the outcomes of periodic review (2013 - 2015) and facilitative dialogues (2018) and move beyond consensus on the threat that climate change imposes. Besides showcasing the collective progress and efforts taken by the Parties, it should help build trust and create a space for positive feedback. It should take a stock of forward looking components (carbon budget, support needed) and drive home the need to move towards a global emissions cap, in the medium term. These outcomes should be brought forward for the consideration and endorsement of the CMA, and ultimately lead to a decision that enables the enhancement of the political commitment of Parties.



1. Introduction

An early entry into force of the Paris Agreement (from here on referred to as the Agreement), pre-COP 23, resulted in an increased pace of activity in the implementation of the Agreement. 160 countries have ratified it thus far¹ - indicating consensus across parties, in taking decisive global action to tackle climate change and its impacts. To facilitate global climate action, it is important to understand the level of efforts expected from Parties, so as to ensure that the net impact leaves us within the 2-degree Celsius target. We have to collectively assess the progress that has been made towards achieving the medium-term commitments made in the INDCs submitted (pre-Agreement), and the long-term goals as well².

A systemic approach to capture the efforts of Parties in a comprehensive manner, is a key pillar of the Agreement. This would help in understanding status quo and identifying potential sectors and geographies for enhancing climate action. The Agreement asks for a ‘Global Stocktake (GST)’ process to this end and entrusts the Ad-hoc working group on the Paris Agreement (APA) the responsibility of formulating modalities, in consultation with the Parties. Various provisions of the Agreement refer to the GST and its linkages with other key goals. *Table 1* provides a gist of various provisions of GST under the agreement.

Table 1: Provisions of GST under Decision 1/21 and specific Articles of the Paris Agreement

Provisions	Descriptions
Paragraph 70	Links the work of Subsidiary Body for Implementation (scope and modality of periodic assessments) with modalities of GST
Paragraph 99	Requests APA to identify input sources for GST that would include: NDC, adaptation, support, IPCC reports, and, report from subsidiary bodies
Paragraph 100	Requests SBSTA to provide guidance on how the assessments of IPCC can inform GST?
Paragraph 101	Requests APA to develop modalities of GST
Article 4.9	Parties to be informed by outcomes of GST
Article 7.14	Focuses on adaptation aspects to be recognised under GST
Article 9.6	Focuses on climate finance information, provided by developed countries, and to be recognised under GST
Article 10.6	Focuses on information on efforts related to support on technology development and transfer for developing country Parties; to be recognised under GST
Article 13.6	Defines one of the purpose of transparency of action which is also to inform Global Stocktake
Article 13.7	Defines one of the purpose of transparency of support which is also to inform Global Stocktake
Article 14.1	Defines Global Stocktake
Article 14.2	Defines timeframe for GST (first GST to be in 2023, and every five years thereafter)
Article 14.3	Focuses on outcome of GST that is to inform Parties in updating, enhancing international cooperation of climate actions

Source: CEEW compilation

1 160 Parties as on 28 August 2017 (11:40 A.M., IST), available at http://unfccc.int/paris_agreement/items/9444.php

2 One of prominent goal is “To keep the increase in global average temperature to well below 2°C above pre-industrial levels.”



2. Experiences from the Past

At COP 16 (Cancun, 2010), with a view to achieving the 2-degree Celsius target, Parties decided to periodically review the overall progress towards long-term global goal. This included a consideration of the implementation of commitments made by Parties under the convention. At COP 18 (Doha, 2012), The Structured Expert Dialogue (SED) was established by the UNFCCC to ensure scientific integrity of such reviews. SED developed a framework for open and substantive discussions between Parties on the scientific knowledge and evidence based climate policy formulation. To ensure transparency, technical assessments and open-ended stakeholder workshops were held alongside of information collection and processing. A review was initiated in 2013 (concluded in 2015), with the assistance provided by subsidiary bodies – SBI and SBSTA.

Findings from the SED summary report (2015)³ confirmed that the **global action was not on track** to limit global warming to below 2 °C. According to this report, “*Significant climate change impacts are already occurring at the current level of global warming and additional magnitudes of warming will only increase the risk of severe, pervasive and irreversible impacts.*” As per the ‘**guardrail**’ concept, even the to 2 °C target which was earlier considered safe, is **evaluated to be inadequate**. The report advises the pursuit of emission pathways in the short-term that are consistent with limiting warming to below 2 °C, but keeping sight of 1.5 °C target⁴.

Based on the SED findings, parties decided at COP 21 (Decision 10/CP.21), to pursue efforts to limit global temperature increase to 1.5 °C above pre-industrial levels. Noting that a significant gap still exists in terms of scale and speed of such progress, SED report says, “*Parties should act urgently and ambitiously under the Convention while recognizing the technological, economic and institutional challenges*”. Also, the scientific community is encouraged to address information and research gaps identified through SEDs, including scenarios that limit warming to below 1.5 °C relative to pre-industrial levels by 2100, and the range of impacts at the regional and local scales associated with those scenarios.

For financial mechanism – the biennial assessment (2016), and overview of climate finance flows by the Standing Committee on Finance (SCF) played an important role. It provides a comprehensive scrutiny of aggregate financial support furnished by developed country Parties. This assessment identified that climate related global finance flow in 2013-14 was approximately USD 714 billion⁵. There is no clarity on the public component in this assessment. However, mitigation-focused finance represented more than 70% of the public finance, and adaptation finance accounted for about 25% of the total finance made available to the developing countries.

Uncertainties were observed by SCF in the financial flows from developed to developing countries. Further, due to lack of any comprehensive reporting guidelines for developing countries on finance received, information provided by them were inconsistent and were difficult to compare.

3 Report on the structured expert dialogue on the 2013 - 2015 review, UNFCCC, 4 May 2015 Weblink: <https://unfccc.int/resource/docs/2015/sb/eng/inf01.pdf>; (Visited on 18 August 2017)

4 Carl-Friedrich Schleussner, Michiel Schaeffer, Bill Hare, Short Paper on the UNFCCC SED on the 2013-2015 review, with a particular focus on the 1.5 °C target, Climate Analytics, November 2015

5 Summary and recommendations by Standing Committee on Finance on the 2016 biennial assessment and overview of climate finance flows, UNFCCC, 2016; Weblink: http://unfccc.int/files/cooperation_and_support/financial_mechanism/standing_committee/application/pdf/2016_ba_summary_and_recommendations.pdf (Visited on 25 August 2017)

A facilitative dialogue among parties, set to take place during COP23 (2018) will kick start the process of a stocktake of collective efforts by Parties in achieving the long-term goal, and to inform the process of ratcheting up nationally determined contributions. In order to ensure that the Global stocktake process gets conducted in an effective and efficient manner, one should avoid duplication of work, and CMA should take into account of these results and other relevant work conducted in the past.

3. Shaping Global Stocktake

APA has been mandated (paragraph 99 and 100 of decision 1/21) to manage matters related to global stocktake, along with other tasks such as: develop modalities, procedures, and guidelines (MPGs) for enhanced transparency arrangement; provide guidance on features of NDCs, and adaptation communications. The complex set of tasks, assigned to the APA are also closely interlinked with each other.

APA requested Parties to submit their views (by 30 April 2017) on the matter of GST on the lines of following guiding questions⁶:

- 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?
- 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?
- d. What modalities will ensure that 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?

To understand the perspective of developing countries on the global stocktake, we have reviewed submissions provided by countries enlisted in Table 2.

Table 2: Parties considered for the study

S. No	Parties providing either a joint or individual submission
1	Indonesia
2	Republic of Rwanda on behalf of the Member States of the Central African Forestry Commission (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
3	Republic of Mali on behalf of the African Group of Negotiators
4	Republic of Ethiopia on behalf of Least Developed Countries Group
5	Saudi Arabia on behalf of the Arab Group
6	Republic of the Maldives on behalf of the Alliance of Small Island States
7	Argentina, Brazil and Uruguay
8	China
9	India submission on behalf of the Like-Minded Developing Countries (LMDC).
10	Submission by Guatemala on behalf of The AILAC Group of Countries - Chile, Colombia, Costa Rica, Honduras, Guatemala, Panama, Paraguay And Peru

Note: Submissions are made by Parties individually or on behalf of group they represent

⁶ Report of the Ad Hoc Working Group on the Paris Agreement on the second part of its first session, held in Marrakech from 7 to 14 November 2016; Weblink: <http://unfccc.int/resource/docs/2016/apa/eng/04.pdf>

APA has held three engagements with Parties on these subject matters⁷. Seven informal consultations were held in May 2017 (Bonn) under the aegis of the APA to inform the GST process. These consultations provided a platform to the Parties to clarify their views, and share new ideas on the possible GST processes. These consultations were focused on modalities, sources of inputs, linkages and context, and outputs/outcomes. The sessions have witnessed active engagement of nearly all Parties by way of formal submissions detailing their views.

⁷ Bonn (16-26 May 2016), Marrakech (7-14 November 2016), and Bonn (8-18 May 2017)

4. Perspective of Developing Countries

4.1 What should be the principles of GST?

Table 3: Perspective of Developing Countries on Principles of GST

Parties	Principles of Global Stocktake
Indonesia	Comprehensive, facilitative and based on best available science.
COMIFAC	Driven by the Parties and not by an external body, ensure inclusiveness , transparency and effectiveness of the global review .
African Group	Comprehensive, facilitative, efficient and effective, balanced, use of equity framework [Defines indicators (contribution to emissions, capability and development needs) against which each Party should assess their own contribution]
Least Developed Countries Group	Transparent, comprehensive and facilitative manner as well as in light of equity and best available science and done in a balanced manner. Broad in scope , take a holistic approach, reflect equity and CBDR, and party driven . Ensuring gender balance in all functional elements of the Paris Agreement
Arab Group	Equal weightage to all climate actions (mitigation, adaptation and the means of implementation and support), comprehensive, flexible and non-intrusive , balance, facilitative, party-driven , take place in light of equity, considering individual developing country Parties national circumstances and limitations; must take into account the best available science
Alliance of Small Island States	Comprehensive, facilitative, in the light of equity and the best available science.
Argentina Brazil & Uruguay	Comprehensive and facilitative manner, consistent with NDCs of Parties' contributions, and in the light of equity and the best available science. To reflect equity and the principle of CBDR in the light of different national circumstances.
China	Comprehensiveness, balanced way, 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.
Like-Minded Developing Countries (LMDC)	Comprehensive and facilitative manner; in the light of equity and the best available science; the reflection and operationalization of the principles of equity and CBDR, Party-driven multilateral process , and building trust between Parties.
AILAC	Comprehensive and facilitative manner

Note: Comprehensive refers to all the aspects: mitigation, adaptation, means of implementation and support facilities

Source: CEEW compilation

4.2 What are the linkages of GST with other aspects of Paris Agreement?

Table 4: Perspective of Developing Countries on Linkages of GST with other aspects

Parties	Linkages of Global Stocktake
Indonesia	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).
COMIFAC	-
African Group	Other work of APA, SB's and other constituted bodies are to be linked
Least Developed Countries Group	Coordination with transparency, compliance discussions, NDCs and adaptation communications and all other work under the APA.
Arab Group	<p>GST is directly linked to several Articles under the Paris Agreement:</p> <ul style="list-style-type: none"> • Article 2: Provides the purpose and the guiding principles of the Paris Agreement • Article 3: Identifies Parties common understanding of NDCs and therefore establishes that climate action is comprehensive in nature • Article 7: Identifies that GST needs to recognize adaptation efforts • Article 9, 10: Identifies that GST will account for the information provided by developed parties on climate finance efforts & technology development and transfer to developing countries. • Article 13: Establishes that GST will be informed by transparency framework and the financial support provided.
Alliance of Small Island States	Linkage is seen both explicitly and implicitly with: Article 2 (long-term temperature), Article 4 (mitigation goal), Article 7 (Adaptation), Article 8 (Loss and damage) , Article 9 (Finance), Article 10 (Technology) and Article 13 (Transparency)
Argentina Brazil & Uruguay	Purpose and principles of the Paris agreement (Article 2), NDCs (Article 4) and consideration of common timeframes (SBI47), adaptation efforts (Article 7), finance (Article 9) and transparency (Article 13)
China	<p>Directly linked with Article 2, 3, 4, 7, 9, 10, 11 and 13.</p> <ul style="list-style-type: none"> • 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, • Article 7.14, 9.6 and 10.6 identify the issues need to be addressed in the GST, • Article 13 is one of the main sources of inputs • After GST process, Parties should follow relevant provisions, 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.
Like-Minded Developing Countries (LMDC)	<ul style="list-style-type: none"> • Article 4.9: Indicates that Parties shall be informed by the outcome of the GST • Article 7.14: GST shall take into account the implementation, adequacy, and effectiveness of adaptation efforts by developing country Parties • Article 9.6: GST shall take into account the information provided by developed country Parties on efforts related to climate finance • Article 10.6: GST shall be guided by the available information on support provided for technology development and transfer by developed countries to developing countries • Article 13: GST will be informed, as appropriate, by the reports under the enhanced transparency framework of the Paris Agreement
AILAC	<ul style="list-style-type: none"> • Article 2.1: Progress towards making finance flows consistent with a pathway towards low-greenhouse gas emissions and climate-resilient development. • Article 4 & 7: Linkages with enhanced mitigation and adaptation action • Articles 9, 10 and 11: Enhanced means of implementation • Article 13: 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

Source: CEEW compilation

4.3 What are the sources of inputs for Global Stocktake?

Table 5: Perspective of Developing Countries on Sources inputs for GST

Parties	Sources of Input for Global Stocktake
Indonesia	IPCC assessments/reports, NDCs, BUR, NATCOM, Existing Public Registry, GHG Interface (currently being developed by Secretariat), Assessment Report (ICA, IAR & Multilateral Assessment)
COMIFAC	IPCC reports, National Communications, Biennial Reports and any relevant reports of Parties
African Group	Inputs from the IPCC, the Subsidiary Bodies, the Enhanced Transparency Framework , various adaptation communications, Party submissions, reports from operational mechanisms and other bodies; Inputs from non-state actors
Least Developed Countries Group	<ul style="list-style-type: none"> IPCC, Subsidiary body report; Inputs from technical expert review and multilateral consideration of progress, NATCOM and BR UN reports (UNEP Gap reports); Information from region groups/institution and civil society bodies, Reports from constituted bodies (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
Arab Group	IPCC Reports, Subsidiary bodies report, NAPs, NATCOM
Alliance of Small Island States	<ul style="list-style-type: none"> Reports from United Nations Environment Programme, the Sustainable Development Goals Progress Report and the Global Sustainable Development Report Inputs from multilateral finance institutions; inputs from civil society, regional groups and agencies, and the private sector IPCC reports; NATCOM, NAPAs and NAP; inputs from the Action Agenda. Use of existing sources of information generated under the UNFCCC as well as information generated under the PA
Argentina Brazil & Uruguay	<ul style="list-style-type: none"> Biennial Transparency Reports, Technical expert review reports as well as the facilitative, multilateral consideration of progress based on inputs from the Enhanced Transparency Framework Submissions and other relevant reports from Parties, NATCOM, BR, BUR, IAR and ICA reports, IPCC assessment, Adaptation Communication CMA annual report established under Article 15 could also provide with a source of information for the GST Other non-Parties inputs, like as reports from United Nations agencies and multilateral development agencies, and other international organizations, etc.
China	<ul style="list-style-type: none"> NATCOM, BUR, BR, National inventories, ICA & IAR reports Report of operating entities under the UNFCCC, such as the FM, SCF, AF, AC, WIM, ExCom, TEC/CTCN, PCCB, etc. and GCF Other relevant reports from United Nations agencies, multilateral development agencies, and other international organization, etc. with the list to be further agreed by Parties
Like-Minded Developing Countries (LMDC)	<ul style="list-style-type: none"> IPCC reports, NATCOM, BR, BUR of all the Parties. Work output of various thematic bodies of the Convention and new bodies and institutions established under the PA. Information from Adaptation Committee, Standing Committee on Finance, Technology Framework and Paris Committee on Capacity-building, should be included. Other relevant entities of the finance mechanism under the Convention: Global Environment Facility (GEF), Green Climate Fund (GCF), Standing Committee on Finance (SCF), Adaptation Fund (AF) and (Least Developed Countries Fund) LDCF, Inputs from The Technology Executive Committee (TEC) and the Climate Technology Centre and Network (CTCN), may make a technology needs assessment
AILAC	<ul style="list-style-type: none"> IPCC assessment, National GHG inventories, NATCOM, BR, BUR, NAP 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. Inputs from Standing Committee on Finance, PCCB & Technology Mechanism to develop specific outputs that can be considered under the GST. Inputs from Non- State Actors is valuable to achieve a comprehensive understanding of the status.

Source: CEEW compilation

4.4 What should be the process (modalities) for Global Stocktake?

Table 6: Perspective of Developing Countries on Models of GST

Parties	Models of Global Stocktake
Indonesia	<ul style="list-style-type: none"> • Establish certain format, structure, and flow of assessment related to the input of GST in order to enable identification of the sources of input and development of modalities • Institutional arrangement should be developed to assist CMA. • 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
COMIFAC	<ul style="list-style-type: none"> • GST could be developed by an ad hoc committee responsible for producing a technical report that could be presented to Parties, during COP, for adoption. • Process must be led by the Parties themselves and carried out by the IPCC. • For conducting GST process, SCF, CBIT, CTCN, the capacity building body should be involved. Thus, they could be associated with the Ad Hoc Special Committee
African Group	<ul style="list-style-type: none"> • CMA should lead the process and similar to the Structured Expert Dialogue (SED) that could conduct the stocktake and report back to the CMA with a report and recommendations • First phase is the preparatory phase resulting in submission of all the inputs before 30 June 2022. These inputs draft into synthesis reports and are subject to technical process. • Second phase is 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. 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. • The final or High-Level Phase where the outcomes of the technical stocktake would be considered along with the policy and political aspects in a process that should involve the Ministers.
Least Developed Countries Group	<p>LDCs believe that experience from the Structured Expert Dialogues can be improved upon and provide a basis for how the GST could be conducted. CMA will oversee the overall conduct of the GST.</p> <p>Process has 4 parts:</p> <ul style="list-style-type: none"> • Call for Inputs from all the sources • Compilation and synthesis of information • Technical review of the information by expert followed by a meeting with CMA and make recommendation • Facilitative Progression: CMA should establish a high-level process to make recommendations to further enhance action under the Agreement.
Arab Group	<p>GST to establish a bottom up system be based on the progress that is made, and not an ex-ante assessment of the subsequent NDCs. It should provide flexibilities to the Parties and should not entail any undue burden on them. The process needs to be concise and pragmatic. The CMA should conduct the GST, and its time frame should be limited.</p>
Alliance of Small Island States	<ul style="list-style-type: none"> • Management of data to be done via a web-based platform • Evolving process and based upon past experiences and lessons learnt from similar exercises under the UNFCCC, such as the Structured Expert Dialogue under the 2013-2015 Review work programme and the technical process under the Action Agenda. • Bodies such as SBI and SBSTA to play an important role in guiding, managing, and facilitating the GST and informing the CMA. • Defining stream to analyse mitigation, adaptation and loss & damage. The technical outputs from the streams should be taken up for high level political consideration.
Argentina Brazil & Uruguay	<p>Process should be based on learnings from existing experiences. Consisting of a Technical and a Political phase for the process:</p> <ul style="list-style-type: none"> • Technical phase would necessarily start within years in advance. Parties and other relevant stakeholders, identified through consensus among Parties, could engage in structured dialogues regarding outcomes of technical phase (workshops and other in-session and intersessional activities). • The technical process should provide inputs for consideration by the higher political level, which in turn would provide the political guidance for enhancing ambition. <p>SBSTA-IPCC Joint Working Group could be used to enhance communication and coordination in the context of the GST.</p>

Parties	Models of Global Stocktake
China	<ul style="list-style-type: none"> • Modalities to be concise and pragmatic, and based on the existing experience/lessons learned from the KP revisit, and lessons learned from the 2013–2015 review. • Two stages: Technical stage which include technical information collection and processing, and the political stage which focus on policy exchange and discussion • GST should be conducted by the CMA, while ensuring full participation of Parties, especially of developing countries, and other stakeholders may also participate. • 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.
Like-Minded Developing Countries (LMDC)	<p>Capacity building support should be provided to developing countries for their effective participation in the GST. 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.</p>
AILAC	<ul style="list-style-type: none"> • A process with a technical and a political phase based on a strong scientific background. • GST year, the CMA shall hold the High-Level Event (HLE) with a focus to consider the conclusions from the inputs formulated during the technical phase. • 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

Source: CEEW compilation

4.5 What should be the output/outcomes of GST?

Table 7: Perspective of Developing Countries on Outcome/Output of GST

Parties	Output/Outcomes of Global Stocktake
Indonesia	<ul style="list-style-type: none"> • Presentation of achievement of Parties. • Results to be included in annual meeting in COP.
COMIFAC	<ul style="list-style-type: none"> • Enable each country to take clear actions on the basis of relevant indicators for each sector.
African Group	<ul style="list-style-type: none"> • Primary tool for assessing our efforts against the recommended pathways • Help update subsequent NDCs to bridge any identified gaps between the sum of the aggregate effort of Parties, and what science prescribes; barriers and opportunities to address them, opportunities for international cooperation and sharing of best practices • Promote effective participations leading to political declaration, at the highest level, pledging support for enhancing the NDCs by the Parties would also be desirable
Least Developed Countries Group	<ul style="list-style-type: none"> • Provide relevant information to determine whether efforts to implement are ambitious and fair, reflecting the greater capacity and responsibility of many countries • Evaluation against equity and best available science, in a balanced manner, identify opportunities of enhancing cooperation; 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.
Arab Group	<ul style="list-style-type: none"> • Provides collective progress and comprehensive assessment of Parties (actions and the support provided) • Focuses on global goal on adaptation, response to climate change threats in the context of sustainable development and poverty eradication, technology development and transfer • Identify barriers and highlight pre-2020 ambition and gaps – related to implementation and helping developing countries overcome obstacles to enhance their actions • Informative: Must deliver a positive information (good practices and experiences) and identify areas for international cooperation
Alliance of Small Island States	<ul style="list-style-type: none"> • Measure collective progress, assess whether adequate resources are being provided to meet the adaptation objectives, mitigation ambitions and reporting requirements • Review the adequacy and effectiveness of adaptation and support provided for adaptation • Assessment and aggregate progress of climate finance mobilisation, particularly aggregate value of climate finance support to SIDS • Identifying the need for enhanced action and international cooperation, and new opportunities, can identify barriers to implementation, facilitate partnership with other bodies, should aim at informing Parties “updating and enhancing” NDCs.
Argentina Brazil & Uruguay	<ul style="list-style-type: none"> • Collective progress where Parties are supposed to go and what can be done to fulfil the vision. • Not meant to provide a “mid-term review” of national efforts, expectation under the GST is the link between the outputs and outcome(s) and how they would inform the elaboration of successive NDCs. • Synthesis reports for each element of the scope, which in turn will constitute the inputs for political consideration
China	<ul style="list-style-type: none"> • Provide collective progress on transformation and target (mitigation, adaptation, means of implementation and support), and share good practices as well as summarize countries’ experiences and lessons. • Facilitating potential cooperation and strengthening action. Identify and overcome potential barriers related to implementation of the Paris Agreement, and further help developing countries with difficulties to overcome obstacles to enhance their actions. • Advice on strengthening relevant mechanisms under the Convention and the Paris Agreement as well as on enhancing international cooperation.
Like-Minded Developing Countries (LMDC)	<ul style="list-style-type: none"> • 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 but it must deliver a positive and practical information that can be considered by Parties. • Identifies gaps and should focus on providing the Parties with an assessment of good practices, experiences, technology innovation and potential opportunities for cooperation, as well as of developing countries’ needs for support (finance, technology development and transfer, and capacity building) to enhance their climate actions. • Identifying and unlocking potential barriers to the implementation need to overcome these barriers in order to enhance actions.
AILAC	<ul style="list-style-type: none"> • Enable general understanding of global state of place in all climate actions and generate momentum to inform and ensure the progression of ambition of Parties’ climate action and contributions. • Outcome should be brought forward for the consideration and endorsement of the CMA and lead to a decision that enables the renewal of the political commitment of Parties.

Source: CEEW compilation

5. Proposed Models under Global Stocktake

APA circulated an informal note (as a guiding template) on agenda item 6 (concerning the GST)⁸, in May 2017. GST is to be conducted by CMA with assistance from other bodies such as the Subsidiary Bodies (SB), or constituted (thematic) bodies under the UNFCCC. These bodies would contribute in providing technical inputs, and in-turn expected to facilitate high level leadership phase. They would also ensure participation from all Parties, especially developing Parties along with non-party stakeholders. The informal note also identifies three emerging models under which GST could operate. Phases described under these three models are overlapping in nature, and hence need to interact with each other.

Model 1: Two/three phases with some overlaps and interaction between phases

Preparatory phase: Responsible for generating necessary inputs for technical analysis (could be part of the technical phase).

Technical phase: This phase would seek data from different sources of input for analysing and summarising experiences, gaps, best practices and identification of opportunities for international cooperation. Workshop/technical dialogue for information exchange between Parties and non-Parties are to be conducted and conclusions would be documented via synthesis report. Sufficient time would be needed for preparation and consideration of technical conclusions on collective progress (mitigation, adaptation, finance), magnitude of future efforts needed, presenting factual, non-prescriptive, provide information on barriers to implementation.

Political/leadership phase: The objective of this phase would be to arrive at common understanding of progress - recognised and agreed by all Parties and provides information on options for scaling up future actions. Presentation by technical expert and facilitating high level of engagement with Ministers, Ambassadors and joint contact group SBs.

Model 2: Three phases intertwined with dynamic interaction amongst them and parallel technical (technical dialogue) and political work (joint SB contact group)

Information gathering and compilation: Phase would define the guidance for preparation of inputs and for filling information gaps. It would involve a series of technical dialogues/workshop with co-facilitators who are selected by Parties (technical), and joint SB contact group (political). Gathering and compilation of information would consider a timeframe for the availability of inputs from the sources.

Consideration of inputs/assessment: Information gathering and compilation phase would help in developing common understanding on outputs. Technical dialogs along with SBs conclusions needs to be documented.

Preparation and consideration of outputs: Summarizing agreed output by all the Parties, and facilitating international cooperation at a high-level leadership by creating a political momentum.

For models 1 and 2, political level engagement (post technical stocktake) is an important step. Also, the technical phase, as original proposed, has clear workstreams - mitigation, adaptation, and means of

⁸ APA's third part of the first session; 16 May 2017; Weblink - http://unfccc.int/files/meetings/bonn_may_2017/in-session/application/pdf/final_informal_noteapa1_3_18052017@1800.pdf (Visited on 21 August 2017)


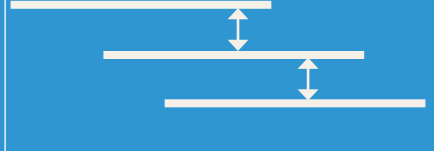

implementation and support. Other workstream such as loss and damage, and equity were included factoring in the demand from developing country parties to include these.

Model 3: Simple design (Cooperative discourse) with neither phases nor workstreams

Provides a simple, pragmatic and cost-effective approach, which would be Party driven. Some of the relevant characteristics of outcomes mentioned here are: identifying pre-2020 gaps; gaps that exists between needs, action, and support; enhancement of international climate action, etc. Further, it also intends to review the effectiveness of global actions (adaptation and mitigation) and climate action in context of SDGs, and inform best practices without any post phase measures.

The overall duration of GST is fixed (one and a half years) with all inputs available by June/mid-year session of the year of the GST (2023). Also, GST cycle is to align with IPCC cycle that would help in linking availability of assessment report. Table 8 below gives a summary of proposed model under GST.

Table 8: Models proposed under GST

Model 1 : Two/three phases with some overlapping and interaction between phases 	Model 2 : Three phases intertwined with dynamic Interaction 	Model 3 : Simple design (Cooperative discourse) 
<ul style="list-style-type: none"> • Preparatory – Technical • Political/leadership 	<ul style="list-style-type: none"> • Information gathering and compilation • Consideration of input/assessment • Preparation and consideration of outputs 	<ul style="list-style-type: none"> • Collected sources of inputs ending in an agreed outcome
Workstreams <ul style="list-style-type: none"> • Mitigation, adaptation and means of implementation and support (including global financial flows) • Other workstreams (e.g., loss and damage, response measures, cross-cutting) 		
Post GST engagement		

Source: Informal note for GST - APA’s third part of the first session⁹, 16 May 2017

Further, to move ahead with the discussions, Parties are requested to make focused submissions on the possible elements¹⁰ based on the textual outline¹¹ of informal note by APA. A pre-session round table is scheduled for 5 November 2017, so as to consider parties’ submission for further deliberations.

⁹ APA1.3, Informal note by co-facilitator, May 2017, Weblink: https://unfccc.int/files/meetings/bonn_may_2017/in-session/application/pdf/apa_6_informal_note_by_the_co-facilitators_.pdf (Visited on 25 August 2017)

¹⁰ For the identification of the sources of input to and development of the modalities for the global stocktake

¹¹ Agenda item 6: Matters relating to the global stocktake referred to in Article 14 of the Paris Agreement: Informal note by the co-facilitators – final iteration; 16 May 2017; Website: http://unfccc.int/files/meetings/bonn_may_2017/in-session/application/pdf/final_informal_noteapa1_3_18052017@1800.pdf (Visited on 21 August 2017)

6. Key Expectations

The first Global Stocktake is set to happen by 2023, and a repeat is expected every five years thereafter, unless otherwise decided by the CMA. It is an **opportunity** for a **comprehensive assessment** of Parties' actions, and the support provided within the context of Paris Agreement. It is important to identify the necessary sources of inputs to the global stocktake that are reliable and authenticated. It is a mechanism to ensure sustainability of the agreement, while promoting continuous learning in an interactive and facilitative manner. Being an integral component of the Paris Agreement, its functioning should be based on the fundamental principles that are enshrined under the agreement. This would help in enhancing international cooperation while deciding the sources of inputs, modalities and outcomes.

Table 9: Fundamental Principles specified for GST

Principles	Description
Comprehensive	Scope should cover mitigation, adaptation, loss and damage, and means of implementation and support (finance, technology & capacity building).
Facilitative	The process must be facilitative manner to assess the collective progress towards achieving the purpose of the Agreement and its long-term goals.
Party-driven	Parties to periodically engage in a constructive dialogue, not only during its design phase but also during in the technical and political phase. The sources of inputs, modalities, procedures and outcome of the GST should be agreed through consensus among Parties.
Transparent and balanced	To enhance mutual trust among Parties, it is essential that the GST is conducted in a transparent and balanced manner between actions and support. In a similar vein the process must give equal importance to natural science inputs and social science inputs.
Equity & CBDR	GST should be conducted in accordance with the principles and provisions of the Convention and relevant provisions of the Paris Agreement. Hence, GST should operationalize the principle of equity that uses the best available metrics and must respect the covenant of common but differentiated responsibility (CBDR).

Source: CEEW compilation

While Article 14 of the Paris Agreement sets the expectations from the GST, many other articles of the Agreement have a direct or indirect bearing on what the GST will ultimately yield. For example, following articles will influence key inputs to the GST: Article 4 on NDCs; Article 7 on adaptations; Article 8 on loss and damages; Article 9, 10 & 11 on financial support, technology transfer, and capacity building, respectively; Article 13 on the transparency mechanisms under which reporting and review obligations are being formulated. The facilitative dialogue (scheduled in 2018), though limited to mitigation, will significantly shape the GST. Hence, other bodies working on these various aspects should also consider the requirements of a pragmatic stocktake process. Table 10 identifies specific tasks being assigned to APA/SBSTA on these aspects.

Table 10: Linkage with the work of other bodies

Bodies	Aspect	Item	Description
APA	Adaptation communications	4	Understanding priorities, implementation and support needs, plans and actions for adaptation communication.
APA	NDCs	3	Understanding features of NDCs, its accounting and associated transparency.
APA	Transparency	5	Understanding the modalities, procedures and guidelines for enhanced transparency considering flexibility for the Parties that need it light of their capabilities.
APA	Compliance	7	Understanding the modalities and procedures of the committee that shall be expert based, facilitate the process and function in a transparent manner.
SBSTA	Matters relating to science and review	6	Understanding scope of the next periodic review of the long-term goal under the Convention and of overall progress towards achieving it. ¹²

Source: CEEW compilation

Paragraph 99 (a) of decision 1/CP.21 summarises the information essential for stocktake process. The following points should be kept in mind while gathering information on the overall progress of Parties:

- Information on progress of actions, both mitigation and adaptation, as well as support provided in relation to the overall implementation, loss and damage, must be considered in a balanced manner.
- While considering the progress against mitigation actions and financial support, stocktake must adhere to the principle of CBDR. For example: 1. considering the long-term benefits of a delayed (and lower level) of peak GHG emissions for developing countries; 2. factoring in financial support provided by developed parties to developing parties 3. the level of access provided to parties for environmentally benign technologies at nominal costs and 4. The opportunities afforded for undertaking collaborative research and development to enhance their mitigation and adaptation action.
- It is essential to sequence the IPCC and GST cycles, as this would facilitate the incorporation of the findings from the most recent IPCC assessment in the subsequent stocktake process.

¹² SBSTA 44 Item 6 b): Assessments of the Intergovernmental Panel on Climate Change and the global stocktake referred to in Article 14 of the Paris Agreement

Table 11 below gives a snapshot of important information which needs to be considered for the GST, their sources and associated bodies.

Table 11: Information, sources and associated bodies for GST process

Information	Modalities								Rationale for Modalities
	National inventory report (CTF for Developed Parties)	BUR/BR	National Communication	National Adaptation Plan (NAP)	Capacity Building Portal	ICA / IAR Reports	Assessment/Synthesis Report (IPCC)	Report on work of other bodies under COP	
Inventory	✓	✓	✓			✓			BUR to cover common category of inventory necessary for GST. ¹³
Mitigation		✓	✓						From existing reporting obligation of Parties i.e. BUR/BR and National Communications.
Adaptation		✓	✓	✓				✓	Utilise existing modality of NAP and appropriate reporting obligation (BUR/NACOM). ¹⁴ Also, report of the work of Adaptation Committee, LDC Expert Group, Executive Committee of the Warsaw International Mechanism for Loss and Damage should be considered.
NDCs		✓				✓			BUR/BR to cover implementation and progress of NDCs. ¹⁵
Means of implementation & Support		✓	✓		✓	✓		✓	Capacity building portal to track financial, technology & capacity building needs of the Parties. BR/BUR to report on finance provided/received. ¹⁶ Reports of entities such PCCB, CBIT, SCF, GEF and others would be essential.
Progression & Assessment							✓	✓	Projection, approaches, risks factors and constraints from assessment/synthesis of IPCC. Also, report of work of proposed compliance committee that would facilitate implementation and promote compliance as per paragraph 2 of article 15. Inputs from Non-state actors - Civil society, United Nations agencies and multilateral development agencies.
Note		<i>Suggested primary sources of input</i>							
		<i>Suggested alternative sources of input</i>							
		<i>Verification method to be adopted</i>							
		<i>Enhancements are proposed in reporting and capacity-building aspects. Refer: Sumit Prasad, Karthik Ganesan and Vaibhav Gupta (2017); 'Enhanced transparency framework in the Paris Agreement: Perspective of Parties'</i>							

Source: CEEW Illustrative

Table 11 covers most of the existing sources of information i.e. Biennial Update Report, Biennial Report, National Communication, National Inventory Report in form of common tabular format, and IPCC Assessment/Synthesis Report. While these may not represent the true 'primary' sources of data, they represent verified, reliable and party-approved and would be acceptable to most parties. Also, inputs from enhanced transparency framework under Paris Agreement, non-Party actors such as civil society, other UN agencies and multilateral development agencies, *inter alia*, are to be considered.

13 Enhancement is proposed for the guidelines of BUR to cover minimum threshold of information for developing Parties necessary for GST – Sumit Prasad, Karthik Ganesan and Vaibhav Gupta (2017); 'Enhanced transparency framework in the Paris Agreement: Perspective of Parties'

14 Work of NAP should be enhanced – Sumit Prasad, Karthik Ganesan and Vaibhav Gupta (2017); 'Enhanced transparency framework in the Paris Agreement: Perspective of Parties'

15 Guidelines of BUR/BR should be enhanced to cover reporting of NDCs, its progress and means of implementation – Sumit Prasad, Karthik Ganesan and Vaibhav Gupta (2017); 'Enhanced transparency framework in the Paris Agreement: Perspective of Parties'

16 Guidelines of BR/BUR should be enhanced to report on specific policies that showcases consistent flow of finance from developed parties and developing countries to report on financial, technology, and capacity building support requirements as a hard obligation – Sumit Prasad, Karthik Ganesan and Vaibhav Gupta (2017); 'Enhanced transparency framework in the Paris Agreement: Perspective of Parties'

While discussing modalities for the GST, existing institutional arrangements and reporting mechanisms under the Framework Convention (broadly) must be utilized to the fullest. This would help in facilitating the entire process without creating undue burden on the developing countries.

The work of entities constituted under the Paris Agreement would greatly reduce the burden on those implementing the GST - the CBIT proposed under paragraph 84 of decision 1/21, and Compliance Committee proposed under Article 15. It is also important to consider public registries along with the work of other existing entities for adaptation such as Adaptation Committee, LDC Expert Group & Executive Committee of the Warsaw International Mechanism for Loss and Damage, Technology Executive Committee (TEC) and the Climate Technology Centre and Network (CTCN), and for support such as SCF, GEF, PCCB etc. However, in order to improve the outcome of the GST, enhancements in the reporting, of action and support, are needed within existing reporting mechanisms.

An implementation arrangement, such as the SED, could be setup, to assist the CMA in driving the process of obtaining inputs from existing bodies and sources and generating new evidence (where necessary). This body/ taskforce would report back to the CMA with its findings and recommendations for consideration. The process must remain bottom-up and it is important to ensure complete transparency – in sourcing data and making outcomes available on public platforms (such as the web/ internet).

The GST should be practical not limited to the narrow task of collecting data (given that fact-finding and evidence collection are at the core of the GST). It must be capable of incorporating learning and evolve overtime. It should aim to build upon the outcomes of periodic review (2013 - 2015) and facilitative dialogues (2018), and not merely arrive at consensus that enhanced action is needed.

Keeping aside the discussion on CBDR, equity and climate justice, there is a need to understand the barriers to achieving what was already committed (should there be a shortfall) and to enhancing the commitments. It must equally highlight and recognise ambitious efforts that have been mounted by various parties and identifying the drivers in those cases. It is very likely that the pre-2020 commitments at the aggregate level will not be met (mitigation and support) and perhaps the shortfall will persist in 2023. In such an event, a bottom-up process for ratcheting up commitments and action will result in a pre-Paris like situation and the need then will be to find the right incentives to elicit binding commitments.

The Global Stocktake should not only help generate greater attention towards the concern but bring political and economic consensus. Besides showcasing the collective progress and efforts taken by the Parties, it should help build trust and creating a space for positive feedback. It should take a stock of forward looking components (carbon budget, support needed) and drive home the need to move towards a global emissions cap in the medium-term. It must be the primary tool for assessing efforts against scientifically and socially accepted pathways and stress on greater need for mitigation and support for climate action. The technical process should come up with a synthesis report for each aspect and deliver a message that will resonate with the political brass. Outcomes should be brought forward for the consideration and endorsement of the CMA and ultimately lead to a decision that enables the renewal and enhancement of the political commitment of Parties.

17 Proposed under – “Sumit Prasad, Karthik Ganesan and Vaibhav Gupta (2017); ‘Enhanced transparency framework in the Paris Agreement: Perspective of Parties’”





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