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## **Ad Hoc Working Group on the Paris Agreement**

**Second part of the first session**

**Marrakech, 7–14 November 2016**

Agenda item 6(a) and (b)

**Matters relating to the global stocktake referred to in Article 14 of the Paris Agreement:**

**Identification of the sources of input for the global stocktake**

**Development of the modalities of the global stocktake**

## **Parties' views regarding matters relating to the global stocktake referred to in Article 14 of the Paris Agreement**

**Information document by the secretariat**

### **Addendum**

1. In addition to the 11 submissions contained in document FCCC/APA/2016/INF.4 and the 4 submissions contained in FCCC/APA/2016/INF.4/Add.1, 2 further submissions have been received.
2. In accordance with established practice, these submissions are attached and reproduced\* in the languages in which they were received and without formal editing.<sup>1</sup>

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\* These submissions have been electronically imported in order to make them available on electronic systems, including the World Wide Web. The secretariat has made every effort to ensure the correct reproduction of the texts as submitted.

<sup>1</sup> Also available at <<http://unfccc.int/5900>>.

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Paper no. 1: Russian Federation

**Применительно к пункту 6 «Вопросы, связанные с глобальным подведением итогов, упомянутым в статье 14 Парижского соглашения»:**

Целесообразно обеспечить сопоставимость представляемых странами параметров для целей корректного «глобального подведения итогов», как это предусмотрено в статье 14 Парижского соглашения, учитывая, в частности, положения пункта 3 данной статьи, в которой говорится, что результаты глобального подведения итогов служат информационной основой для Сторон при обновлении и активизации их определяемых на национальном уровне действий и поддержки согласно соответствующим положениям настоящего Соглашения, а также при активизации международного сотрудничества для действий по борьбе с изменением климата.

[Translation as submitted]

Unofficial translation

**Regarding item 6 «Matters relating to the global stocktake referred to in Article 14 of the Paris Agreement»:**

It is important to ensure the comparability of any parameters reported by the countries for the purposes of correct "global stocktake", as provided for in article 14 of the Paris Agreement. Particularly, considering the provisions of paragraph 3 of this article, which states that the results of a global stocktake serve as an information basis for the Parties in order to upgrade and enhance their nationally determined action and support in accordance with the relevant provisions of the Paris Agreement, and in order to enhance an international cooperation for action to combat climate change.

## Paper no. 2: South Africa

### Summary

South Africa welcomes this opportunity to submit its initial views and proposals on the global stocktake process. This submission is intended as a contribution to the collective effort to further conceptualise in particular the scope, inputs, outcome and modalities of the global stocktake to maximise the potential to keep the international community on track to fully implement the United Nations Framework Convention on Climate Change (UNFCCC) and its Paris Agreement. The global stocktake needs to be robust and encourage, in a facilitative manner, accelerated nationally determined action and the progressive raising of ambition on the basis of science, equity, transparency and differentiation of action and support.

### Purpose

The purpose of the global stocktake, as defined in Article 14 (1) of the Paris Agreement, is to take stock of the implementation of the Paris Agreement to assess the collective progress towards achieving its purpose and its long-term goals.

The global stocktake must be able to reflect progress in the global response to the threat of climate change and in realising the global goals on mitigation and adaptation, with the necessary financial flows and the provision of support in technology development and transfer and capacity building. The stocktake should show whether there are adequate resources to deliver the action required to achieve the long-term goals in Article 2 of the Paris Agreement.

### Guiding Principles

The guiding principles specified in Article 14 include that it is to be carried out in a comprehensive and facilitative manner, in light of equity and the best available science. The outcome of the global stocktake is to inform Parties in updating and enhancing their actions and support in a nationally determined manner.

It is therefore essential that the global stocktake be conducted in full accordance with Article 2, which clarifies that the purpose of the Paris Agreement is to enhance the implementation of the Convention and strengthen the global response to climate change in the context of sustainable development and poverty eradication. The global temperature goal, adaptation and resilience goal, as well as finance flow goal are set out in Article 2(1). Article 2(2) further asserts that “this Agreement will be implemented to reflect equity and the principle of common but differentiated responsibilities and respective capabilities, in the light of different national circumstances”.

Further guiding principles that can be deduced from the clear linkage made between Articles 13 and the global stocktake are that the purpose of transparency of action includes informing the global stock-take (Art 13.5); and that the purpose of transparency of support is comprehensive in scope (Art 13.6 refers to Articles 4, 7, 9, 10 and 11) and includes a full overview of aggregate financial support, to inform the global stocktake.

In South Africa’s view, these guiding principles necessitate that in order for the global stocktake to be credible, it must be robust.

### Nature

The global stocktake is a process designed to accelerate action and the progressive raising of ambition in cycles - an iterative process that every five years brings stakeholders together to assess what has been done, and what more need to be done. As such, the views of non-State actors, such as civil society, would also be required and beneficial to the process, and the process itself must be designed to ensure rigorous and robust assessments of progress, and effective outcomes.

### Scope

South Africa is strongly of the view that it is necessary for the global stocktake, in assessing progress, to consider progress to date in terms of Article 13(5) and (6), and also to consider contributions in the next cycle of NDCs after the relevant stocktake, to assess the adequacy of future efforts. It is important that the global stocktake aggregates progress on ALL elements, particularly the Paris Agreement’s global goals, including those articulated in its Article 2(1) as mentioned above, as well as the long-term goal on mitigation (Article 4.1) and the global goal for adaptation (Art 7.1). To achieve comprehensiveness, the global stocktake must also include elements set out in the Agreement that are not explicitly mentioned in the Agreement’s purpose but form an integral part of it, such as loss and damage and response

measures. As the global stocktake will be assessing progress in implementing the Agreement in its entirety, in the light of equity and the best available science, it will be important to assess progress on achieving the Global Goal on Adaptation. This is a fundamental aspect of assessing the global response to climate change in accordance with Article 2. The global stocktake is therefore distinct from the 2018 Facilitative Dialogue, which precedes the post-2020 commencement of legal obligations and is limited to mitigation.

## **Inputs into the Global Stocktake**

In order for the outcomes of the global stocktake to be credible in assessing the international response to climate change, its inputs need to be comprehensive and include information communicated by Parties, other stakeholders, and include a comprehensive assessment of the latest available science.

The Paris Agreement identifies some of the inputs that the global stocktake must take into consideration. These include the overall effect of the NDCs communicated by Parties, which for the majority of Parties includes adaptation. The state of adaptation efforts, experiences and priorities, information related to climate change impacts and adaptation, the mobilization and provision of support, as well as the assessments and special reports on adaptation from the Intergovernmental Panel on Climate Change (IPCC) and UNFCCC Subsidiary Bodies will all be relevant in assessing progress in achieving the global adaptation goal. The outcomes of the transparency of action and support system will be a very important input for the global stocktake and these should set out the state of individual efforts and ongoing updates of the synthesis paper on aggregate effects should provide continuously improving information to assess the overall collective effort of Parties. This ought to provide a strong basis to begin the work, but it will not be sufficient on its own.

The Paris Agreement is clear that developed country Parties shall and other Parties that provide support should provide information on finance, technology transfer and capacity-building support provided to developing country Parties (Article 13.8); and that developing country Parties should provide information on such support needed and received (Art 13.9).

Furthermore, decision 1/CP.21 mandates the Subsidiary Bodies, as well as a number of other constituted bodies and indeed the COP itself, to develop recommendations on modalities, procedures, guidelines and methodologies on various issues, including for assessing action and support. It will be important that the outcomes of work and reports by these various bodies be broadly in line with the transparency of action and support system and the modalities of the global stocktake, as well as being of such a nature that they can be readily used in the global stocktake.

While the global stocktake must be comprehensive and address all elements in line with the transparency of action and support system, given the different natures of the various elements it should not attempt to treat each element in the same manner. South Africa is of the view that in enabling Parties to assess progress on each element of climate action, measures to assess progress should be developed, taking into account the unique nature of each element. Using these measures which must be clear and appropriate for each element would facilitate a credible stocktaking process that is science based. South Africa intends to provide further input on appropriate measures to assess progress for the global stocktake.

Input from the scientific community, in particular the IPCC, would be essential to the global stocktake in terms of assessing how our efforts compare against the action needed to address the climate challenge. This applies to both Assessment Reports and Special Reports, which should be available at least two years before a global stock-take, in time for its technical phase (see below).

Parties should also be afforded the opportunity to make submissions, for example on equity related information, loss and damage and response measures, given that the Agreement is to be implemented in the context of sustainable development and efforts to eradicate poverty.

## **Modalities of the Global Stocktake**

South Africa sees the global stocktake as having a technical and a political process, following sequentially.

The technical process must be firmly grounded in science, include a clear assessment of the state of progress based on the reporting and transparency processes under the Paris Agreement, and an assessment of the aggregated effect of NDCs applicable to future periods.

The technical process should commence the year before the CMA needs to adopt a decision on the outcome of the global stocktake for that particular cycle. For the first global stocktake this would mean that the technical process begins in 2022, culminating with a decision on its outcomes at the CMA in 2023. This would enable Parties to reflect on the outcomes of the global stocktake, so as to inform their next round of nationally determined contributions.

In determining the modalities of the stocktake we can build on the experiences and lessons learned from the 2013-2015 Review. The Structured Expert Dialogue was an important modality in the 2013-2015 Review, enabling Parties to receive and analyse complex information from a wide range of inputs.

In our view, it is unlikely that a Plenary Session would be an effective setting to undertake technical component of the global stocktake. We therefore have the following preliminary thoughts on the modalities that can be considered for the technical process:

- Technical synthesis papers produced by the Secretariat could include not only the synthesis paper on the aggregate effect of NDCs, but also a synthesis paper on progress to date;
- A technical committee, comprising of the Chairs and Co-Chairs of the SBs and various Constituted Bodies (AC, LEG, SCF, CTCN and TEC etc.) could be constituted to facilitate consideration of the information, in accordance with agreed terms of reference. In the year leading up to a global stock-take, the SBSTA should be requested to convene workshops to understand the most recent scientific information and to assess progress in the light of this information.
- Another possibility would be setting up a specific mechanism under the CMA, such as an expert panel, to assess the information and provide an independent assessment to the CMA for consideration by the CMA.

For the political process of the global stocktake, a Contact Group under the CMA could be established to consider and make recommendations on the technical process, for adoption by the CMA.

A high-level meeting during the CMA would be necessary and helpful in securing political commitment for the outcomes of the global stocktake to inform the next round of NDCs.

## **Outcome**

Each global stocktake cycle must have a clear outcome or outcomes, in the form of recommendations for scaling up future actions to meet the long-term goals of the Paris Agreement. Since the stocktake is to be undertaken in a facilitative and comprehensive manner, the objective is not to compel State Parties to take on additional obligations or to rewrite their Nationally Determined Contributions (NDCs). It is for each Party to accept its fair share of responsibility. In Paris, we agreed that there is a strong expectation to show progression on a voluntary basis. Parties should use the stocktake outcomes to help with the preparation of their next NDCs on the basis of science, equity and CBDR&RC in light of national circumstances.

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