

## Submission by Australia, Canada, Japan and the United States on APA Item 6 - Inputs and Modalities of the Global Stocktake

We are pleased to present our shared views on APA Agenda Item 6, “Matters relating to the global stocktake referred to in Article 14 of the Paris Agreement: (a) identification of the sources of input for the global stocktake; and (b) development of the modalities of the global stocktake.”

The global stocktake is a centrally important component of the Paris Agreement that signals to the international community a collective, long-term commitment to achieving the purpose and goals of the Agreement. It is the primary mechanism through which Parties come together to track collective progress on a regular basis. It will provide critical information and identify key opportunities that will allow Parties to bridge gaps, strengthen cooperation, and develop future actions, with the ultimate aim of strengthening the global response to the threat of climate change.

Equally important, the global stocktake demonstrates Parties’ commitment to basing our response to climate change on the forefront of scientific and technical knowledge. We are pleased that the global stocktake will be informed by robust assessments of the latest scientific findings, including the integral work of the Intergovernmental Panel on Climate Change (IPCC).

We view the global stocktake as a *process* through which Parties will periodically engage in a constructive and facilitative *dialogue* that will in and of itself build trust and strengthen collaboration between Parties. This dialogue will also be comprehensive, encompassing mitigation, adaptation, and support. In our view, with the aim of ensuring its effectiveness and impact, the global stocktake would:

- communicate a *clear* and *accurate* picture of collective progress;
- be *action-oriented* and maintain forward momentum towards achieving the purpose of the Agreement and its long term goals by motivating Parties to convert information on collective progress and opportunities into tangible, ambitious actions and policies;
- reinforce collective *ownership* of ambition needed among Parties to successfully implement the Paris Agreement;
- engage non-Party stakeholders as a means of mobilizing the broader international community; and
- facilitate an *open* exchange of lessons and sharing of best practices.

## **MODALITIES**

Building on the above, the modalities of the global stocktake should reflect its dual objectives:

- 1) to generate a dialogue through which the scientific and technical information on collective progress achieved and opportunities for future action is gathered, analyzed, and presented; and
- 2) to mobilize Parties for the purpose of enhancing action and ambition towards the implementation of the Paris Agreement.

To achieve these two purposes, we envision the global stocktake as a process consisting of two phases:

### ***1) Technical phase***

- This phase would take a form which draws from that of the ‘Structured Expert Dialogue’ through which Parties and relevant experts, including technical experts, would engage in a focused, constructive exchange of information and ideas. This dialogue would encompass three distinct components: 1) mitigation; 2) adaptation and; 3) support.
- *Co-facilitators* could be identified to convene each component of the dialogue and oversee the completion of a number of tasks. Consideration should be given to the degree of responsibility and autonomy afforded to co-facilitators. In this regard, an effective balance should be achieved to ensure that the dialogues are Party-driven, while at the same time efficient, focused, and constructive.
- There are a number of options in structuring the form, timing, and duration of the dialogues. A degree of flexibility could be maintained regarding adjustments to these aspects (e.g., flexibility to extend the number/duration of the components of the dialogue). This can ensure the dialogues meet their objectives and evolve to reflect lessons learned from similar experiences and previous dialogues, while staying true to the original purpose and intended character of the global stocktake.
- The output of this phase could involve a synthesis report or reports. These reports would reflect all items discussed during the dialogue, including findings presented by the experts, and communicate a clear indication of collective progress towards the implementation of the Paris Agreement. These reports would further contain a forward-looking aspect to identify key opportunities for action and cooperation moving forward.

## **2) Leadership Phase**

- This phase would be the culmination of the global stocktake, and would take the form of a high-level event designed to directly engage Parties<sup>1</sup> in the global stocktake process. At this high-level event, co-facilitators could present the synthesis reports, focusing on key findings.
- Following the presentation of the synthesis reports or other information, Parties would have the opportunity to reflect on the findings, engage in open and substantive discussions, and signal their continued commitment to implement the Paris Agreement to the broader international community. Parties could consider opportunities for enhanced action highlighted in the synthesis reports or other information presented.
- As the culmination of the stocktake, and to ensure high-level participation, the leadership phase could take place during the CMA in each year the global stocktake is set to occur (2023, 2028, etc.)
- The outputs of the leadership phase could take a number of forms to capture the richness of discussion between Parties, the state of collective progress, and other key outcomes at the high-level event. The output could guide and mobilize increasingly ambitious actions over both the near and long-term.

### ***Participation of non-Party stakeholders***

- One important issue to consider is the specific form, mechanism and timing for the participation of non-Party stakeholders. There are a number of options regarding when and in what capacity these actors could be engaged in the process (e.g. by contributing to the technical and/or leadership phase; and/or to provide inputs on collective progress or opportunities for further action).

## **INPUTS**

The Paris Agreement and decision 1/CP.21<sup>2</sup> provide guidance with regard to the type of inputs needed for the global stocktake. In considering additional inputs beyond those set forth in the Agreement and the decision text, and building from the proposed modalities described above, we offer the following thoughts:

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<sup>1</sup> The high level event would engage Parties at the level of, *inter alia*, heads of state, ministers, and ambassadors.

<sup>2</sup> See Agreement Articles 7.14, 9.6, 10.6, 13.5, 13.6 and Decision CP.21, paragraph 99.

1. Under the proposed technical phase, each substantive component of the dialogue (mitigation, adaptation, and support) would have different information needs and engage different experts. As such, inputs appropriate to each area of focus will vary and should reflect the characteristics of the areas of focus.
2. It will be challenging to identify today a comprehensive list of the types of input needed for a robust global stocktake that will not take place until 2023, 2028, and beyond. To ensure consideration of a broad range of inputs, calls for submissions could be issued in advance of the dialogue. Such a call for submissions would seek to benefit from the wealth of knowledge and experience available among scientists, academics, and other expert institutions. The inputs into the global stocktake should capitalize on existing sources of information in Paris Agreement forums.
3. We should carefully consider how to balance between needing to be comprehensive and inclusive against the need to also ensure that the global stocktake is conducted efficiently and that the inputs are relevant, based on the best available science, and useful for informing enhanced action. One possible way to navigate these potentially competing interests would be to charge the co-facilitators within each substantive area (mitigation, adaptation, and support) with identifying the most up-to-date and robust inputs, beyond a standard list, with support from the UNFCCC secretariat and consultation with Parties. Alternatively, rather than identify upfront criteria for their inclusion, all responses to the call for submissions could be considered as inputs to the technical phase; then through the dialogue itself, Parties would identify and focus on those inputs they found most robust and informative to supporting enhanced action. The timing of identification, collation and use of inputs for the global stocktake will need to be carefully considered. It may be more valuable for Parties to be able to access inputs in advance of the technical phase.
4. While other scientific inputs may also be relevant, IPCC reports will form a principal scientific input to the global stocktake. As such, it is critical to maintain and respect the scientific integrity and robustness of the IPCC in considering ways to better integrate the work of the IPCC with the global stocktake.

We look forward to engaging with other Parties on these and other ideas related to the global stocktake, with a view to develop robust modalities and consider potential inputs, starting at COP22.