

## **LMDC SUBMISSION ON THE GLOBAL STOCKTAKE FOR THE IMPLEMENTATION OF THE PARIS AGREEMENT**

In accordance with paragraph 26(a) of the Report of the Ad Hoc Working Group on the Paris Agreement (APA) on the third part of its first session (FCCC/APA/2017/2) and taking into consideration of the contents of the informal note by the co-facilitators, the Islamic Republic of Iran, on behalf of the Like-Minded Developing Countries (LMDC) Group in the UNFCCC, would like to make the following focused submission on the sources of inputs and modalities for the Global Stocktake (GST) for the implementation of the Paris Agreement.

### **I. Guiding Principles for the GST**

1. The GST is a crucial arrangement to enhance implementation of the Convention and its Paris Agreement. The GST should be conducted in full accordance with the principles of the Convention and the provisions of the Paris Agreement, in particular Articles 2, 3, 4, 7.2(e) and 10.2(a) of the Convention and Articles 2, 3, 14 of the Paris Agreement.
2. **Principles of equity and common but differentiated responsibilities:** Article 2.2 of the Paris Agreement stipulates 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. Although the GST is for overall effects, it should reflect and operationalize the principles of equity and common but differentiated responsibilities in its input, modalities and outcome, taking into account the differentiated obligations of developed and developing country Parties under the Paris Agreement. Furthermore, the GST should be conducted in the light of equity. Equitable access to sustainable development, therefore, should be considered and implemented in the GST.
3. **Context of sustainable development and poverty eradication:** The GST should be conducted in the context of sustainable development and poverty eradication. The inputs and outcome should be closed linked with the practical work and concrete efforts on sustainable development, poverty eradication, energy security, environment protection and etc., and should also recognize the gaps of development between the North and South. Particularly, it should fully take into account that poverty eradication and economic and social development are the first and overriding priorities of developing country Parties.
4. **Comprehensiveness and linkage between actions and support:** The GST should consider mitigation, adaptation and means of implementation and support (including finance, technology development and transfer and capacity-building) in a

balanced, comprehensive, holistic and inter-linked manner, in particular taking into consideration that the extent to which developing country Parties will effectively implement their commitments under the Convention will depend on the effective implementation by developed country Parties of their commitments under the Convention related to financial resources and transfer of technology. The comprehensiveness, balance and inter-linkage should be reflected in the goals, sources of input, organization of work and outcome of the GST.

5. **Nationally determined and facilitative nature:** The GST should respect the nationally determined nature of Parties' contributions. In this regard, it should be conducted in a facilitative manner, including by recognizing the progress and difficulty in the areas of sustainable development and poverty eradication and focusing on the practical solution to address the barriers to the implementation and ambition, in particular the salutation on leadership by developed country Parties and means of implementation and support for developing country Parties.
6. **Positive and pragmatic:** The GST should send a positive signal beside the sense of urgency, in order to demonstrate the progress in overall implementation and improve Parties' confidence to take climate actions, achieve sustainable development and protect our planet. In this regard, it should recognize the flaws of the calculation of the mitigation gaps on the paper through projections and scenario setting, and on the contrary, focus on more concrete issues on policies, experience, practices, actions, support and cooperation on the group. Furthermore, the modalities for the GST should be as simple and concise as possible, without undue burden to the Parties, in particular developing country Parties.
7. **Implementation-orientated:** The core of the work of the GST is to take stock of the "implementation" of the Paris Agreement. Hence, the focus of the GST should be "implementation", which means the progress that has been made, rather than projections, scenarios or trajectories that is for the prediction and has not yet been implemented. The GST is not an ex-ante assessment of those actions to be communicated and implemented in the future.
8. **Openness, transparency and Party-driven process:** The entire process of the GST should be conducted in an open, transparent and party-driven manner. All the key arrangements related to the sources of input, mode of participation, organization of the relevant events, form of the closure and any messages from the GST with policy implications, should be discussed in a Party-driven manner and based on the consensus from Parties.

## II. Understanding of the Purpose of the GST

1. According to Article 14.1 of the Paris Agreement, the purpose of the GST is to periodically take stock of the implementation of the Paris Agreement and assess the collective progress towards achieving the purpose of the Paris Agreement and its long-term goals. A common understanding on the purpose of the GST will set up a

good start to elaborate the sources of input and modalities.

2. **“Taking stock of the implementation of the Paris Agreement”**: This is the core of the work of the GST and will lay a solid foundation for assessing the collective progress. This means that the assessment of the collective progress should be based on the targets, actions, policies and cooperation that have been and is being implemented, rather than calculation of the projection and prediction of the trends.
3. **“Purpose of the Agreement”**: The purpose of the Paris Agreement is envisaged in Article 2 of the Agreement, which is to enhance the implementation of the Convention, including its objective and strengthen the global response to the threat of climate change, in the context of sustainable development and poverty eradication. These purpose above should be fully taken into account in the inputs and modalities for the GST.
4. **“Long-term goals of the Paris Agreement”**: The long-term goals of the Paris Agreement is not a single goal on temperature and emission reduction, but a series of systematic, inter-linked and coherent goals and visions in the context of enhancing the implementation of the Convention, strengthening the global response to the threat of climate change and achieving sustainable developing and eradicating the poverty. These goals are the elaboration of the objective of the Convention as set out in its Article 2. Specifically, the long-term goals of the Paris Agreement are:
  - (a) Article 2 on the purpose and general goal of the Paris Agreement;
  - (b) Article 4.1 on global goal on mitigation;
  - (c) Article 4.15 on general vision of response measures;
  - (d) Article 7.1 on global goal adaptation;
  - (e) Article 9.1 and paragraph 53 of decision 1/CP.21 on collective targets on finance by developed countries;
  - (f) Article 10.1 on global long-term goal on technology; and
  - (g) Article 11 on general vision on capacity-building.
5. **“Collective progress”**: This means that the GST will not assess individual Parties’ implementation and ambition. Furthermore, “collective” means that the GST should deal with mitigation, adaptation, finance, technology development and transfer, capacity-building, together with the issues of sustainable development, poverty eradication, implementation of the Convention, equity and CBDR, etc. in a holistic and coherent manner.

### III. Linkage between the GST and Other Articles and Arrangements

1. The following provisions of the Paris Agreement are important to note and reflect because they form the specific policy context in relation to the implementation of the Paris Agreement under which the sources of inputs and modalities for the GST should be further considered and operationalized:
  - (a) Articles 2.1 (chapeau), 2.2, 3, 4.4, 4.5, 7.13, 9.1, 10 and 11 – these provisions lay out the most important guiding principles and the overall context for the GST, in particular sustainable development and differentiation between developed and developing country Parties. These principles and context, should be embedded into and reflected in the process and outcome of the GST.
  - (b) Articles 2.1 (a)-(c), 4.1, 7.1, 9.1, 10.1 and 11 and paragraph 53 of decision 1/CP.21 – these provisions establish a comprehensive and coherent system of long-term goals, not merely goals on temperature or emission reduction. The GST should consider these goals in a holistic and comprehensive manner.
  - (c) Article 4.9 – It is important to stress that Article 4.9 of the PA indicates that “Parties shall...be informed by the outcome of the GST”, rather than “NDCs shall be informed by the outcome of the GST”. Article 14.3 further indicates the outcome of the GST informs the Parties and it is then up to the Parties individually, on the basis of nationally-determined nature, to determine how the outcome of the GST would inform their future efforts and cooperation on climate change. Therefore, in the provisions of Paris Agreement, it is clear that there is no specific and direct linkage between the outcome of the GST and any adjustments or upgrading that individual Parties may make with respect to their existing NDCs and/or their subsequent NDCs.
  - (d) Article 7.14 – the GST shall take into account the implementation, adequacy, and effectiveness of adaptation efforts by developing country Parties; as well as the support provided for adaptation by the developed country Parties.
  - (e) Article 9.6 – the GST shall take into account the information provided by developed country Parties on efforts related to climate finance.
  - (f) Article 10.6 – the GST shall be guided by the available information on support provided for technology development and transfer by developed countries to developing countries, aiming to provide a balance on such support for both mitigation and adaptation.
  - (g) Article 13 – the GST will be informed, as appropriate, by the reports under the enhanced transparency framework of the Paris Agreement, which will not only be about tracking the progress on Parties’ actions, but also take into account the support provided by the developed countries and received by the developing countries for finance, technology development and transfer, and capacity building, for both mitigation and adaptation. However, it is premature to discuss the specific linkage between Article 13 and Article 14, since the respective modalities for the transparency framework and GST are still under discussions.

2. Furthermore, it is fundamental and urgent to discuss the linkages between the GST and the constituted bodies of the mechanisms on adaptation, finance, technology, capacity-building and response measures under the Convention and its Paris Agreement. Such linkages should be reflected in the sources of input and modalities for the GST.
3. Last but not least, it is still premature to discuss the linkage between the GST and other APA Agenda Items. These items should conclude their respective work on designing the guidance, modalities, procedures and guidelines as a priority, without prejudice to the outcome of the work related to the GST.

#### **IV. Sources of Inputs for the GST**

1. The sources of input should deal with information on mitigation, adaptation and support in a balanced, comprehensive and holistic manner, as well as the context related to implementing the Paris Agreement and achieving the purpose of the Agreement and its long-term goals. The GST should take the information on the linkage between actions by developing country Parties and support by developed country Parties as a key source.

##### **Topics and areas of the input**

2. Besides the sources of input in paragraph 99 of decision 1/CP.21. The topics and areas of the input could include the following categories as a non-exhausting list:

##### **(a) Science**

The GST should be conducted in the light of science. The input on science should not only include the input from the IPCC on natural science on temperature, emissions and vulnerability, but also on social science such as climate politics, economy, sociology, history, public awareness, legislation, policies and public administration. The IPCC should ensure a balanced treatment of natural science and social science in the future assessment. The CMA should adopt further guidance for the IPCC on this issue.

##### **(b) Equity, sustainable development and poverty eradication:**

Equity and science should be considered holistically in the GST. Information on equity, sustainable development and poverty eradication will be significant to set the right context for the GST. Therefore, the following information should be available for the GST:

- (1) Information related to equitable access to sustainable development;
- (2) Information on historical responsibilities on climate change by developed countries since the Industrial Revolution;
- (3) Information on development gaps between the North and South;

- (4) Information on sustainable development, including achieving the SDGs and 2030 Agenda;
- (5) Information on leadership by developed countries in achieving low-emission and climate-resilient development.
- (6) Information on poverty eradication, food security, job creation and social justice in developing countries; and
- (7) Information on climate refugees and displacement people.

**(c) Progress made on implementation:**

- (1) **Input from the reporting under the transparency framework:** The input on these topics will be mainly from the reporting from the enhanced transparency framework and the reporting from the current MRV system, such as NCs, NIRs, BRs and BURs. Furthermore, the input under the transparency arrangements should be kept as it is and to be further discussed under the GST, without any analysis, synthesis or aggregation by the transparency framework itself. Whether the outputs from the technical expert review and facilitative multilateral consideration of the progress should be treated as the inputs for the GST can not be decided yet since the MPGs of TEM and FMCP, including the format of the outputs, are still under discussion. This issue will be further discussed by the CMA after the first GST to be conducted
- (2) **Input on the overall effect of the NDCs communicated by Parties:** The overall effect of the NDCs should include mitigation, adaptation and means of implementation component of NDCs. The input on the overall effect of the NDCs communicated should be based on the information on the progressed made in implementing NDCs provided by Parties under the transparency framework, rather than based on the synthesis report by the Secretariat, in which the means of implementation component of NDCs is not duly reflected.
- (3) **Pre-2020 implementation:** Gaps, barriers and progress on pre-2020 implementation, in particular on the implementation of the outcomes of the Bali Action Plan and second commitment period of the Kyoto Protocol, should also be treated a fundamental input for the first and second GST to be conducted in 2023 and 2028 respectively.

**(d) Specific inputs on the “elements”:**

- (1) Mitigation:

The information under the transparency can provide comprehensive input to the GST in this area. Therefore, no more inputs will be needed, except:

- information on response measures, and

- information on the leadership by developed country Parties as a whole to in reducing their GHG emissions;

(2) Adaptation:

- further information on the support for developing country Parties' adaptation in the report of the relevant institutions on adaptation, such as AC, LEG, AF, LDCF, NWP, TEC/CTCN, PCCB, etc.,
- further information on specific needs and barriers,
- output from the modalities to recognize the adaptation efforts by developing country Parties, and
- information on economic diversification and joint mitigation and adaptation efforts, if needed;

(3) Means of implementation and support:

- further information on specific amount of support through provision and mobilization respectively,
- further specific information on needs and gaps on support, including the amount of money, various types of technology and capacity-building
- information on overall progress made by developed country Parties on achieving the collective financial targets and global vision on technology,
- information on how such support will assist developing country Parties to implement the Paris Agreement,
- any complimentary information by the relevant institutions on finance, technology and capacity-building, such as the GCF, GEF, AF, LDCF, SCCF, SCF, TEC/CTCN, Technology Framework, PCCB and CBIT, etc.,
- information about the new and additional finance, apart from what has already been committed by the developed country Parties,
- Information on collective pace of transformation and international transfer in technology,
- Information on the effects on increasing capacities for developing country Parties through the programmes and projects by developed country Parties and international organizations,
- Information on opportunities for international cooperation, in particular climate finance and technology innovation, and
- information on any other type of means of implementation beyond

finance, technology and capacity-building.

**(e) Best practices, experience and lessons learned**

Parties are invited to provide the complimentary inputs in these aspects.

***Provider of the inputs***

3. Two categories of the providers are as follows with specific arrangements for their participation:
  - (1) **Parties:** They are invited to submit inputs taking into consideration of the topics and areas above. Since the GST is to assess the overall progress of Parties, national information officially provided by national governments should be prioritized as sources of input.
  - (2) **Constituted bodies under the Convention and its Kyoto Protocol and Paris Agreement:** They are invited to provide inputs relate to their work, focusing on adaptation and means of implementation. These inputs should reflect Parties' suggestions, views and concerns on the relevant issues.
4. Further list of the information providers should be decided by the future sessions of the CMA based on the consensus from all Parties.

**V. Modalities for the GST**

1. The process of the GST should be open and transparent, inclusive, balanced and Party-driven, with positive, constructive atmosphere and frank dialogues and mutual trust among Parties.
2. Key issues related to the modalities and organization of the work for 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.
3. The modalities should build on and drawing from the experience and lessons learned from the arrangements and events related to the assessment of overall progress under the Convention and its Kyoto Protocol, in particular the arrangements referred to in Articles 4.2(d), 7.2(e) and 10.2(a) of the Convention. Furthermore, lessons could also be drawn from the way in which reviews of the implementation of the Convention and its Kyoto Protocol were done.
4. The modalities for the GST are mainly for the procedural issues and organizational matters related to the GST, without prejudice to the substantial contents of outcome of the GST.

***Timing and Activities***

5. The GST should be designed as simple and practical as possible. The GST could be a technical process lasting for more than half a year and less than one year, with the



following activities:

(a) Information Gathering:

- (1) Parties and relevant bodies under the Convention and its Paris Agreement are invited to provide the information as input for the GST process. The joint contact group referred to below, with the assistance of the Secretariat, will collect these inputs and make them available on the UNFCCC website.
- (2) The work of information gathering could be launched before or after the subsidiary body (SB) session of the year in which the GST will be conducted, bearing in mind that Parties and relevant stakeholders may start to prepare for the GST several years earlier.
- (3) The deadline for the submission of information could be one month before the opening plenary of the relevant session of the CMA, in order to give Parties enough time to digest these inputs.

(b) Exchange of Views

- (1) Parties will exchange their views on the purely technical level on the implementation of the Paris Agreement and collective progress on achieving the purpose of the Paris Agreement and its long-term goals, taking into account all the inputs gathered.
- (2) The exchange of views could be conducted in conjunction with the CMA of the year in which the GST will be conducted, under the joint contact group to be established under the SBI and SBSTA referred to in Part C below. Meanwhile, thematic workshops and roundtables will be further convened under the joint contact group.
  - The plenary of the joint contact group should discuss all the inputs and topics in a holistic and comprehensive manner, in particular the linkage among various issues.
  - The themes of the roundtables will be on mitigation, adaptation, finance, technology and capacity-building, as well as the linkage between actions and support, all of which should deserve the balanced allocation of time. The roundtables should report their discussions back to the joint contact group.
  - The themes of the workshops will focus on the context of implementing the Paris Agreement and achieving its purpose and goals. The context includes, inter alia, equity and CBDR, sustainable development and poverty eradication. The workshops should report their discussions back to the joint contact group.
- (3) All the forms of events above, whether in the form of joint contact group meetings, workshops or roundtables, should be in a plenary setting, open

to all Parties, to ensure all participants could interact with each other.

### **Organizers**

6. A joint contact group between the SBI and SBSTA should be established to organize the GST, with the technical and logistical support by the Secretariat on gathering the information and organizing the events.
7. The contact group should convene its first meeting at the SB session in the year in which the GST will be conducted, as the formal start of the GST process. The contact group should discuss and decide some specific arrangements for the organization of the work for the GST in the CMA, including, inter alia:
  - (a) specific deadline for the submissions of the inputs;
  - (b) additional topics and areas of the inputs besides the items in the non-exhausting list of the sources of input, if needed;
  - (c) additional themes and detailed schedules for the events to be convened;
  - (d) any keynote speakers to be invited for the events, if needed; and
  - (e) further preparatory work to be done by the Secretariat, with clear mandate.
8. The two Chairs and two Vice-Chairs of the SBI and SBSTA should be designated as the four co-moderators of the events for the exchange of views.
9. The Presidency of the CMA is invited to work together with the Secretariat provide necessary logistic assistance for the work of the joint contact group. The future sessions of the CMA should further define the roles of the Presidency of the COP/CMA, including the roles of the latest four out-going Presidencies of the four sessions of COP/CMA.

### **Participants**

10. The GST should ensure full participation of all Parties, especially developing country Parties. In this regard, capacity-building support should be provided to developing countries for their effective participation in the GST.
11. The level of participation for the GST, in particular in the exchange of views, should not be prejudged and determined by the Parties concerned.

### **Closure of the GST**

12. The GST should be ramped-up and closed before the closing plenary of the CMA through:
  - (a) closing remarks by the CMA Presidency and co-moderators and closing interventions by the participants in the last plenary of the joint contact group;
  - (b) compilations of all the inputs submitted in the information gathering and materials presented in the exchange of views, which will form core materials as outcome of the GST;

13. Other forms of work that could help ramp up and close the GST should be decided upon consensus from all Parties.

**Adjustment of the Modalities for the GST**

14. The CMA will review and adjust the modalities for the GST referred to in paragraphs 1-13 of this part above, after the closure of the second GST, taking into account the experience and lessons learned from the first and second GST.

**VI. Expectation on the Outcome of the GST**

1. According to Article 14.3 of the Paris Agreement, the outcome of the GST shall inform Parties in updating and enhancing, in a nationally-determined manner, their actions and support in accordance with relevant provisions of the Paris Agreement, as well as in enhancing international cooperation for climate action.
2. The outcome of the GST is, based on the Paris Agreement itself, only a discretionary information tool for Parties' reference should they wish to go about enhancing or updating their actions. Hence, the specific ways of the enhancing and updating should be nationally determined by Parties with concerns, in line with the differentiated responsibilities and obligations under the Convention and its Paris Agreement, particularly in accordance with Articles 3 and 4 of the Convention and Articles 2.2, 3, 4.4, 4.5, 9.1, 10 and 11 of the Paris Agreement.
3. To ensure that the outcome of the GST is informative in an overall manner and enhances cooperation for climate action, it must deliver positive, practical and comprehensive information to increase Parties' confidence, facilitate sharing best practices, enhance mutual understanding on the overall implementation and identify the potential of enhanced actions and support and international cooperation.
4. In informing Parties in updating and enhancing their actions, the outcome of the GST should be comprehensive, focusing on the policies, practices, technologies and solutions that are practical, scalable and replicable, to ensure that every Party can find some valuable information when they updating and enhancing actions. The GST must assist in identifying and unlocking barriers to the implementation by developing country Parties, and further help identify the need and connect developing country Parties with the support they need to overcome these barriers.
5. In informing developed country Parties in updating and enhancing their support, the GST outcome should provide for a clear overall picture on the support provided by the developed country Parties to the developing country Parties including the aggregate financial support, overall support in technology development and transfer and collective support in capacity-building, as well as an overall assessment of the support provided for adaptation. The outcome should illustrate the gaps in means of implementation due to shortfall of the support in finance, technology development and transfer and capacity-building, and what are the roadblocks in providing such support by developed country Parties. In addition, it is critical to

ensure that the GST can inform the delivery of support and technical assistance through the mechanisms on finance, technology and capacity-building.

6. In informing Parties in enhancing international cooperation for climate action, the outcome of the GST can provide for some reference point to Parties, for learning best practices and experience and identifying their potentials and follow-up actions to strengthen international cooperation in addressing climate change, in particular in the area of technology development and transfer, as well as technology innovation, diffusion, deployment and know-how.
7. When informed by the outcome of GST, developed country Parties should further increase their ambition both on emission reductions and provision of finance, technology and capacity-building support to developing country Parties, in line with their historical responsibility and leadership in addressing climate change, and developing countries could further enhance their mitigation and adaptation actions, taking into account their circumstances, capacities and increased finance, technology and capacity-building support received.
8. Increasing level of ambition, in the implementation stage of the Paris Agreement, enormously depends on the internal demands, willingness and capacities of Parties on achieving a win-win solution between promoting economic and social development and combating climate change, as well as concrete support for developing country Parties, rather than the pressure from the outside. The key task after the adoption of the Paris Agreement is to transfer the agreed outcomes in paper into tangible actions on the ground, rather than negotiating further international documents.
9. Furthermore, follow-up activities after the GST are mainly done by the Parties concerned in a nationally-determined manner, after they are informed by the outcome of the GST. It is out of the mandate for the APA to discuss any international follow-up activities or events, including whether a UN summit will be convened after the GST.

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