

Submission

APA Agenda Item 6 - Matters relating to the Global Stocktake

St. Lucia is pleased to support the submission from AOSIS on Matters relating to the Global Stocktake and has the honour to provide further inputs on behalf of the Caribbean Community (CARICOM), comprised of Antigua and Barbuda, the Bahamas, Barbados, Belize, Dominica, Grenada, Guyana, Haiti, Jamaica, St Kitts and Nevis, Saint Lucia, St Vincent and Grenadines, Suriname, and Trinidad and Tobago.

The submission is in response to the invitation from the APA for Parties to submit by 30 September 2016 their views on the Items 3, 4, 5 and 6, of the APA agenda, in order to focus the work of the APA. It responds specifically to 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*”, noting the work under Subsidiary Body for Scientific and Technological Advice agenda item 6(b), “Matters relating to science and review: advice on how the assessments of the Intergovernmental Panel on Climate Change can inform the global stocktake referred to in Article 14 of the Paris Agreement”.

1. BACKGROUND AND MAIN CONCEPTS

Article 14 of the Paris Agreement provides for a periodic global stocktake *"of the implementation of this Agreement to assess the collective progress towards achieving the purpose of this Agreement and its long-term goals."*¹ This stocktake should be done in a *"comprehensive and facilitative manner, considering mitigation, adaptation and the means of implementation and support, and in the light of equity and the best available science."*²

The first global stocktake shall be undertaken in 2023 and every five years thereafter and the outcome *"shall inform Parties in updating and enhancing, in a nationally determined manner, their actions and support in accordance with the relevant provisions of this Agreement, as well as in enhancing international cooperation for climate action."*³ The COP decision adopting the Paris Agreement calls for a decision to be adopted at CMA1 on the details of the global stocktake, viz:

- to identify the sources of these inputs, for adoption at CMA1;
- to develop recommendations on modalities for the global stocktake for adoption at CMA 1.

¹ *The Paris Agreement, Article 14*

² *Ibid*

³ *Ibid*

It also requests the SBSTA to advise the Ad Hoc Working Group on the Paris Agreement (APA) at its second session on how IPCC assessments can inform the global stocktake.

2. CONTRIBUTION TO THE IMPLEMENTATION OF THE PARIS AGREEMENT

The global stocktake is a core element in the design of the Paris Agreement aimed to ensure progression toward the fulfillment of the purposes of the Paris Agreement and its long-term goals. In this sense, it serves a central strategic role, evident in the linkages made in other Articles of the Paris Agreement, including with regard to:

- *Mitigation*: Each Party's NDC shall be informed by the outcomes of the global stocktake;⁴
- *Adaptation*: The global stocktake shall, inter alia:⁵
 - Recognize adaptation efforts of developing country Parties;
 - Enhance the implementation of adaptation action taking into account adaptation communications;
 - Review the adequacy and effectiveness of adaptation and support provided for adaptation;
 - Review the overall progress made in achieving the global goal on adaptation.
- *Finance*: The global stocktake shall take into account the relevant information provided by developed country Parties and/or Agreement bodies on efforts related to climate finance;⁶
- *Technology*: The global stocktake shall take into account available information on efforts related to support on technology development and transfer for developing country Parties;⁷
- *Transparency of action*: The framework for transparency of action shall inform the global stocktake;⁸
- *Transparency of support*: The framework for transparency of support shall inform the global stocktake.⁹

⁴ Paris Agreement, Article 4, paragraph 9

⁵ Paris Agreement, Article 7, paragraph 14

⁶ Paris Agreement, Article 9, paragraph 6

⁷ Article 10, paragraph 6

⁸ Paris Agreement, Article 13, paragraph 5

⁹ Paris Agreement, Article 13, paragraph 6

3. ISSUES TO BE CONSIDERED IN ADDRESSING THE GLOBAL STOCKTAKE

The mandate of the Global Stocktake places a responsibility on all Parties to ensure that the stocktake is carried out in a comprehensive, objective, balanced, transparent and inclusive manner. Issues to be addressed include:

- a) Modalities for the Stocktake
 - How will the actual stocktake be done?
 - What body will be responsible for carrying out the stocktake?
- b) What are the information needs, in addition to that specified by 1/CP.21
- c) What preparatory work, if any, is required ahead of the stocktake?
- d) What inputs are required for the stocktake?
- e) What would be the output(s) from the stocktake?
- f) Schedule/timeline for the stocktake
 - When should the Stocktake commence?
 - When should the output(s) be submitted to the CMA?
- g) Relationship with other UNFCCC processes and bodies?

4. ELABORATION OF ISSUES

4.1. Modalities

a) *How will the Stocktake be done?*

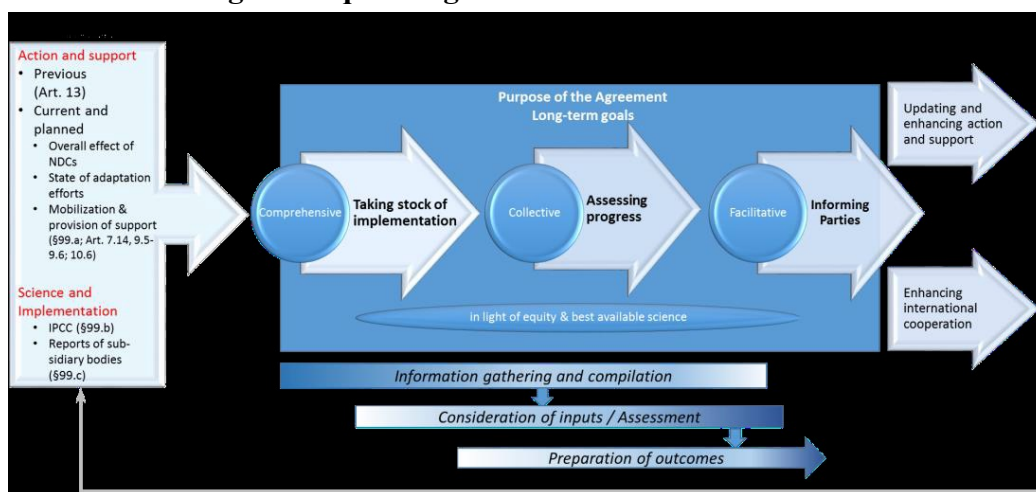
CARICOM is of the view that the Stocktake should be carried out using a phased approach consisting of three phases:

- *Information gathering and compilation* - where all interested parties and other relevant entities would provide the information required by the stocktake to a coordinating entity (options discussed in (b) below).
- *Technical assessment* - where the information provided will be assessed by the coordinating entity with a view to addressing the objectives of the stocktake.
- *Preparation of outputs* - where the information provided will be synthesised to address the objectives and guiding questions of the stocktake.

These phases could overlap in time, with specific deadlines set for completion of each phase. Fig. 1 below, produced by the UNFCCC Secretariat, provides a graphical illustration of such overlapping phases. Operating modalities could include workshop settings, roundtables, expert consultations and the like. Party representation would be open-ended, and parties would have the opportunity to interact with experts. Such an approach was used very successfully for the 2013 - 2015 Review.

The Global Stocktake should culminate in a “political moment” at which the final output will be publicly endorsed by Ministers who will commit to using it as guidance in the development of their next round of nationally determined contributions.

Fig. 1 - Sequencing the Global Stocktake



IPCC assessments and the global stocktake. SBSTA/IPCC Special Event.2016.1. Information Note

b) What body will be responsible for carrying out the stocktake?

CARICOM recommends that the COP establishes a joint contact group of SBSTA and SBI to undertake the global stocktake and recommend an outcome to the CMA.

The contact group would be supported by an expert dialogue that would receive and synthesize inputs from all sources to provide a technical basis for assessment. The expert dialogue would be open-ended to facilitate participation by all Parties and would be led by two co-facilitators elected for the duration of the stocktake - one from a developed country and one from a developing country.

The assessment report would be prepared by the co-facilitators and would be submitted to the joint contact group which would consider the report and recommend the required output to the CMA.

4.2. INFORMATION NEEDS, IN ADDITION TO THAT SPECIFIED BY 1/CP.21

It will be useful to consider additional information needs that would enhance the output from the Global Stocktake. 1/CP.21¹⁰ specifies that the stocktake should consider the following:

- Information on:
 - The overall effect of the nationally determined contributions communicated by Parties;
 - The state of adaptation efforts, support, experiences and priorities from the communications referred to in Article 7, paragraphs 10 and 11, of the Agreement, and reports referred to in Article 13, paragraph 8, of the Agreement;
 - The mobilization and provision of support;
- The latest reports of the Intergovernmental Panel on Climate Change;
- Reports of the subsidiary bodies.

Two matters of interest to CARICOM that are not included in this listing from 1/CP.21 and should be included are:

- information on regional impacts provided by agencies from the respective regions. This would be a useful complement to the information on the status of adaptation efforts et. al. that is mandated by 1/CP.21.
- information on Loss and Damage.

4.3. SOURCES OF INPUTS REQUIRED FOR THE STOCKTAKE

The inputs to the stocktake have to provide the information needed to conduct the stocktake. This could include information from the following sources:

- Information from Parties – through NDCs, Adaptation Communications, biennial reports, biennial update reports, greenhouse gas inventories, national Communications and party submissions.
- Information from the UNFCCC constituted bodies including TEC, CTCN, PCCB, LEG, AC, AFB, GCF, GEF.
- Report from the next Periodic Review.

¹⁰ Paragraph 99

- Information from the IPCC.
- Other peer-reviewed information from the scientific community that has not yet been considered by the IPCC.
- Reports from other international organisations e.g. UNEP Gap Report, Global Sustainable Development Report, World Bank “Turn Down the Heat”
- Information from regional groups and agencies.
- Information from civil society agencies.

4.4. PREPARATORY WORK REQUIRED AHEAD OF THE STOCKTAKE

Decision 1/CP.21 requested that the APA consider how the IPCC assessments can inform the global stocktake - an acknowledgement that specific preparatory work may be needed to prepare the IPCC input into the stocktake.

CARICOM recommends that specific preparatory work should also be done by other bodies and processes, to streamline the information coming to the Expert Dialogue. This should include but not be restricted to:

- *Mitigation* - The UNFCCC Secretariat should be requested to prepare a Technical report on the overall effect of NDCs.
- *Adaptation* - The Adaptation Committee should be mandated to receive and synthesize inputs from adaptation related agencies and stakeholders including the LEG, the NWP, the AC, the LDCF and to provide a technical basis for assessing: the adequacy and effectiveness of adaptation and support; and overall progress toward the global adaptation goal.
- *Finance* - The Standing Committee on Finance should be mandated to receive and synthesize inputs from finance related agencies and stakeholders, and to draw on its biennial assessments, to provide a technical basis for assessing: the mobilization and provision of financial support; and progress toward the long-term finance goal.
- *Technology* - The Technology Mechanism should be mandated to receive and synthesize inputs to provide a technical basis for assessing efforts related to technology support.
- *Capacity Building* - The Paris Committee on Capacity Building should be mandated to receive and synthesise inputs related to capacity building.
- *Loss and Damage* – the Warsaw International Mechanism on Loss and Damage should be mandated to receive and synthesise information on Loss and Damage

Such an approach would enhance the efficiency of the stocktake process and help to keep the stocktake focused on its core mandate.

In order to ensure full transparency of these processes, all of the input documentation that informed the preparatory work by the respective agencies should be available on the UNFCCC website and should be accessible by all stakeholders - parties, non-state actors, civil society.

4.5. OUTPUT(S) FROM THE STOCKTAKE

The Paris Agreement did not define the output of the stocktake. It stated that "the Conference of the Parties serving as the meeting of the Parties to this Agreement shall periodically take stock of the implementation of this Agreement to assess the collective progress towards achieving the purpose of this Agreement and its long-term goals"¹¹ and that "the outcome of the global stocktake shall inform Parties in updating and enhancing, in a nationally determined manner, their actions and support in accordance with the relevant provisions of this Agreement, as well as in enhancing international cooperation for climate action".¹²

There will have to be upfront agreement on what the specific output(s) from the Global Stocktake will be so that everyone will be working towards the same goal(s). CARICOM recommends that the output should include at a minimum:

- a technical summary prepared by the body leading the process on the collective progress achieved as per Article 14, para 1; and
- a report with key factual messages agreed by Parties on the implications for updating and enhancing their actions and support as per Article 14, para 3.

4.6. SCHEDULE/TIMELINE FOR THE STOCKTAKE

The stocktake will be a multi-year process. The Paris Agreement specifies that the first stocktake shall be done in 2023, and an indicative timeline to achieve this, in reverse chronological order, is as follows:

Key timelines under this approach would be:

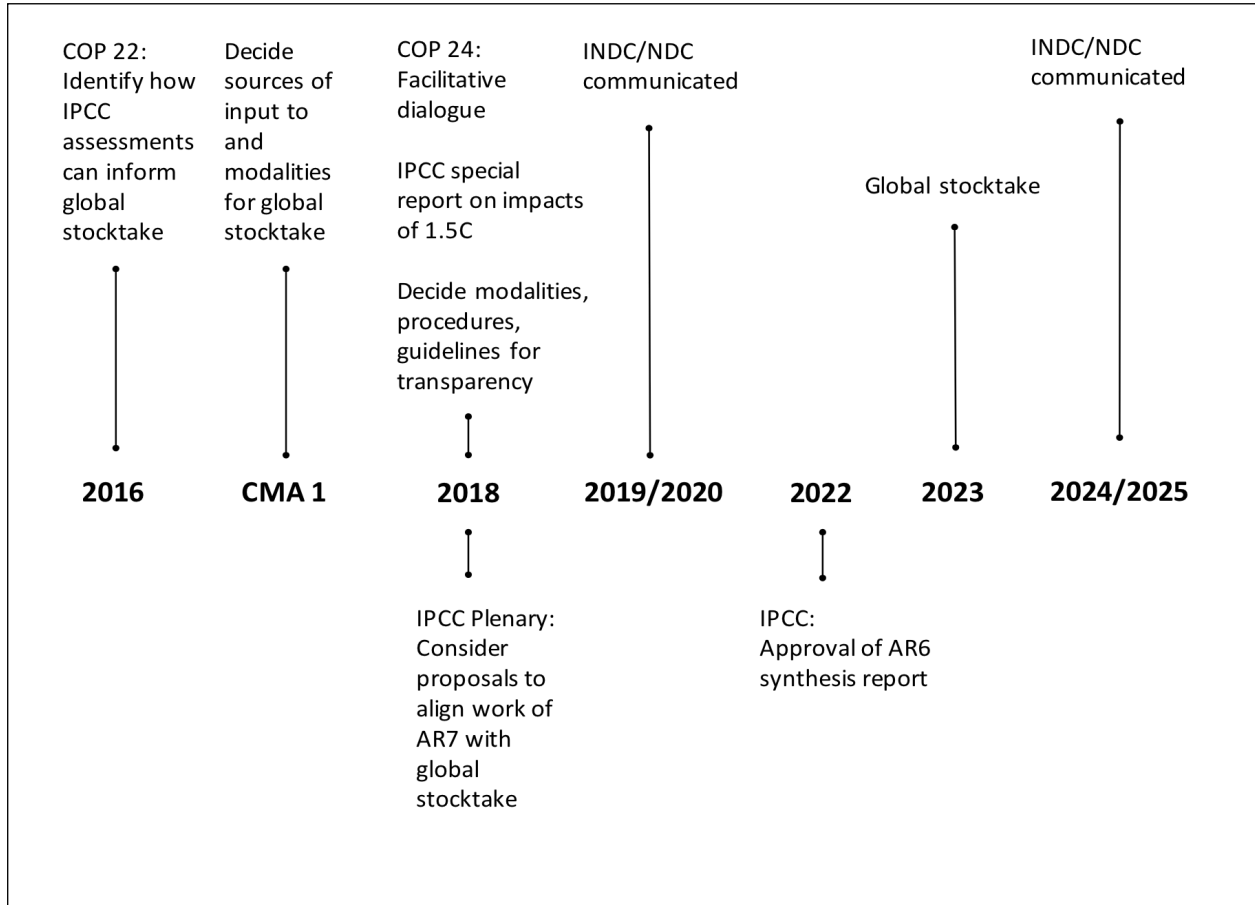
- Political event to adopt the results of the Stocktake - December 2023
- Final Report of the Global Stocktake - September 2023
- Preparation of outputs/political assessment Phase - Completed by June 2023
- Report of the assessment Phase available - December 2022
- Completion of assessment phase - September 2022

¹¹ *The Paris Agreement, Article 14, para 1*

¹² *The Paris Agreement, Article 14, para 3*

- Completion of information gathering Phase - March 2022
- Start of Global Stocktake - December 2020

It is important to note that there are a number of other milestones in the Paris Agreement that are related to the Global Stocktake as illustrated below.



Source: C2ES Workshop Paper: Structuring the Global Stocktake – Issues and Options

4.7. RELATIONSHIP WITH OTHER UNFCCC PROCESSES AND BODIES

It is also important to consider the relationship between the stocktake and other UNFCCC process and bodies, and especially whether or not this will have a bearing on the conduct of the global stocktake. The graphic in the previous section illustrates the timeline for the stocktake alongside other mandated activities and requirements.

The main process illustrated there are the activities in 2018 - The Facilitative Dialogue on mitigation action and the transparency processes.

- **2018 Facilitative Dialogue** - Decision 1/CP.21 establishes a “facilitative dialogue” in 2018 to take stock of progress toward the Agreement’s long-term mitigation goal and to inform the preparation of the next round of NDCs. Some see this facilitative dialogue as serving the function of an initial global stocktake, prior to the 2023 date for the global stocktake. However, unlike the global stocktake under Article 14, its scope is limited to mitigation. Its mandate does not address adaptation or means of implementation.
- **The Transparency Process** - The Paris Agreement mandates that the frameworks for transparency of action and support shall "inform" the global stocktake. The design of these frameworks should therefore be kept under review to ensure compatibility with the requirements of the Global Stocktake.

An additional activity that is also of relevance to the Global Stocktake is the **Periodic Review**. The Cancún Agreements established a periodic review of the adequacy of the long-term global goal. In Paris, parties completed the initial review; decided to reconvene the structured expert dialogue as part of the next periodic review; and asked SBSTA and SBI to make recommendations at COP 24 on the scope of review.

The global stocktake and the periodic review both have the function of assessing progress toward achieving the long-term mitigation goal enshrined in the Paris Agreement and efforts should be made to ensure that they complement each other.