

Submission by China on matters relating to the global stocktake referred to Article 14 of the Paris Agreement

In accordance with paragraph 17 a-h of the conclusion of the Ad Hoc Working Group on the Paris Agreement on the second part of its first session (FCCC/APA/2016/L4), China would like to submit views on “Matters relating to the global stocktake referred to Article 14 of the Paris Agreement”. China’s submission in September 2016 also contains information related to these matters.

1. General Views on the Global Stocktake

The Global stocktake (GST) is one of the key outcomes of the Paris Agreement. The GST is a significant mechanism to ensure the sustainability of the Agreement and to encourage Parties continuously increase their ambitious, and the GST is critical to show the collective progress achieved on enhancing the implementation of the Convention and the Agreement, as well as promoting low-carbon, climate-resilient and sustainable development.

Through promoting continuous, interactive, enhanced and learning-by-doing international cooperation, the GST could help reduce challenges and uncertainties faced by countries, especially developing countries, in social, economic and technological aspects, and therefore enhance the collective progress in combating climate change and achieve the purpose and long-term goals of the Convention and the Paris Agreement.

To play a substantive role, the GST should reflect the following four characteristics:

(1) **Comprehensive.** The GST should consider mitigation, adaptation, means of implementation and support in a comprehensive, holistic and balanced manner, and in the light of equity and the best available science.

(2) **Facilitative.** The GST should be conducted in a facilitative way. It should be nationally determined by the Parties to decide their following actions after the GST, including update, enhance their actions and support in accordance with the relevant provisions of this Agreement. The GST should focus on providing information.

(3) **Collective.** The GST should evaluate the “collective progress”, rather than individual progress. Thus it should focus on assessing the “collective progress” and the “overall gap”.

(4) **Positive.** The GST should not simply evaluate the quantitative gaps between ambitious and targets, and should avoid mutual accusation and blaming game. Instead, the GST should exchange best practices and identify difficulties, barriers, lessons learned from past experiences, especially international collaboration opportunities that can strengthen finance, technology and capacity building supports.

Meanwhile, the design and implementation of the GST should in accordance with the principles and provisions of the Convention and relevant provisions of the Paris Agreement, especially for the principle of common but differentiated responsibilities, while the GST should be in the context of climate equity, sustainable development and best available science. The design should also reflect that the GST is party-driven and be conducted in a balanced and transparent way.

2. Context and Linkages

(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, while in the light of equity and the best available science?

The design of the GST is closely connected with its basic concepts, context and the principles it followed. Therefore, Parties should reach to a common understanding on the context of the GST prior to the discussion of the procedures of the GST.

“Collective progress” should not only be treated as a simple aggregation of efforts, nor a quantitative assessment of emission reduction gaps, but also cover a wider and more positive range of contents, including:

- (1) **Progress on transformation**, such as the global low-carbon transition progress (mitigation achievement, energy efficiency improvement and renewable energy development), the adaptation progress (adaptation actions and achievement), and the development in technology R&D and transfer, policy implementation, capacity improvement, as well as mobilization and provision of financial support and etc.;
- (2) **Progress on targets**, which includes two aspects. The first is the gaps between the overall committed targets of Parties and the global collective progress on mitigation, adaptation, financial, technical and capacity building support. The second is the gaps between the global collective progress on mitigation, adaptation, financial, technical and capacity building support and the purpose of the Agreement and its long-term goals;
- (3) **Good practices**, including best practices that can be learned and replicated, and potential cooperation areas and opportunities that can be strengthened.

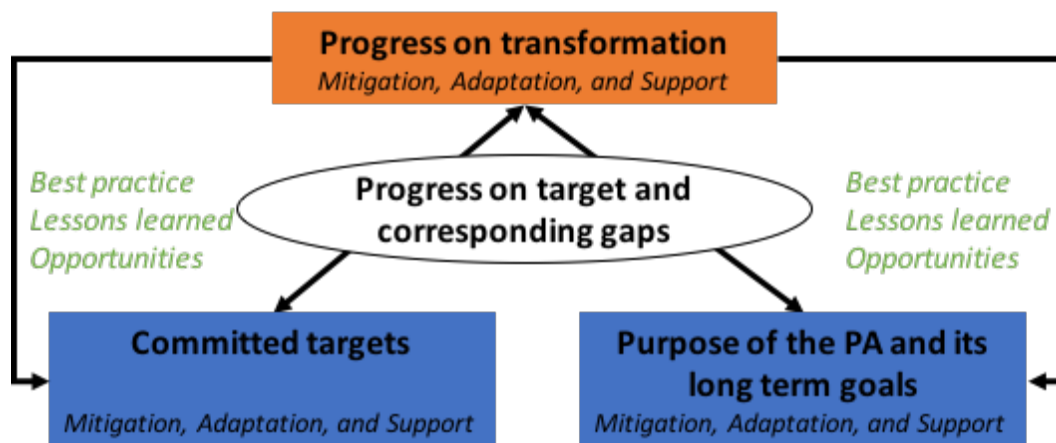


Figure 1: The context of “collective process”

The GST should assess the collective progress towards achieving the purpose of the Agreement and its long-term goals through exchanging transformation progress, best practices, and lessons learned, thereby facilitating potential cooperation and strengthening action. In the meantime, the GST should help to identify and overcome potential barriers related to implementation of the Paris Agreement, and further help developing countries with difficulties to overcome obstacles in order to enhance their actions.

To ensure the comprehensiveness of the GST, the time allocation and procedure arrangement of negotiation should consider mitigation, adaptation, means of implementation and support in a balanced way, in particular to ensure the linkage between activities and supports. 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.

(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 global stocktake (GST)?

The GST is directly linked to Article 2, 3, 4, 7, 9, 10, 11 and 13. 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, while Article 7.14, 9.6 and 10.6 identify the issues need to be addressed in the GST. Reports from the transparency mechanism that mentioned in Article 13 is one of the main sources of inputs. After the GST, Parties should follow relevant provisions of the Paris Agreement, 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.

3. Sources of input

(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?

The GST should distinguish the information source and need of inputs, which is, a question about what and where. The selected sources of input should be directly linked to the purpose and information needs of the GST. In this regards, before identifying the sources of inputs, the questions of information needs should be addressed first.

The information needs of the GST should maintain the balance between mitigation, adaptation, means of implementation and support. See details in Table 1.

Table 1 Information needs of the GST

| | Adaptation | Mitigation | MOI and Support |
|----------------------------|--|---|---|
| Progress on Transformation | <ul style="list-style-type: none"> • Adaptation efforts and actions; • Adequacy and effectiveness of adaptation; • Information on adaptation technologies and policies; • Barriers and challenges to implement adaptation actions; | <ul style="list-style-type: none"> • Information on GHG emission trends and the effects of emission reduction; • Information on examples of mitigation actions and programmes; • Information on technology development, low-carbon investment, consumption behavior, institutions and policies; • Information on challenges and barriers; | <ul style="list-style-type: none"> • Information related to finance, technology and capacity building support provided by developed countries and organizations to developing countries; • Information on the operation, performance and challenges of operating entities under the UNFCCC, such as the FM, SCF, AF, AC, WIM ExCom, TEC/CTCN, PCCB, etc.; • Information on operation, performance and challenges of GCF; |
| Progress on Targets | <ul style="list-style-type: none"> • Information on the collective progress and gaps towards achieving the global adaptation target; • Information on financial, technical, and capacity-building needs and gap; | <ul style="list-style-type: none"> • Information on the collective progress and gaps towards achieving the global warming target and the mitigation target; • Information on the needs and gaps of financial, technical and capacity building | <ul style="list-style-type: none"> • Information on the collective progress and gaps towards achieving the targets of finance, technology and capacity building supports; • Information on the gaps between support received by |

| | | | |
|----------------|--|--|---|
| | | support for mitigation; | developing countries and need for finance, technology and capacity-building; |
| Good Practices | <ul style="list-style-type: none"> • Information on good practices and experiences from Parties and multilateral organizations; • Information on potential opportunities to enhance international collaboration on adaptation. | <ul style="list-style-type: none"> • Information on good practices and experiences from Parties and multilateral organizations; • Information on potential opportunities to enhance international collaboration on mitigation. | <ul style="list-style-type: none"> • Information on best practices, experiences and lessons learned; • Information on potential barriers and solutions, especially on international cooperation opportunities on climate finance and technology innovation. |

For the input of sources, in addition to the sources of inputs already identified in paragraph 99 of decision 1/CP.21, the following sources should also be considered:

- (1) Parties' submission on fulfilling information needs of the GST, including information on best practices, experiences and lessons learned.
- (2) National communications, biennial update reports from developing country Parties and biennial reports from developed country Parties, national inventories, reports on international consultation and analysis, international assessment and review, and other relevant reports from Parties and processes under the Convention;
- (3) Report of operating entities under the UNFCCC, such as the FM, SCF, AF, AC, WIM ExCom, TEC/CTCN, PCCB, etc. and GCF;
- (4) Other relevant reports from United Nations agencies, multilateral development agencies, and other international organization, etc. with the list to be further agreed by Parties.; and
- (5) Any other relevant information identified through consensus among Parties.

The list of sources of inputs should be relatively open, allowing the entrance of new information. However, certain criteria, such as scientific standards and agreed by Parties, should be followed when adding new sources of inputs in order to ensure the list is manageable.

4. Modalities

(d) What modalities will ensure that the GST is 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?

The modality and process of the GST should be concise and pragmatic to ensure its effectiveness and efficiency as well as to encourage full participation of Parties, especially developing country parties.

The modality of the GST should be informed by existing experiences under the Convention, e.g. lessons learned from the technical examination process of raising ambition before 2020, lessons learned from the KP revisit, and lessons learned from the 2013-2015 review.

The modality of the GST should ensure the balance between adaptation, mitigation and means of implementation and support, be capable of learning from previous GSTs and building trust, and the different responsibility and roles of developed and developing country parties.

The GST could include two stages of work considering the different focus of work: the technical stage which include technical information collection and processing, and the political stage which focus on policy exchange and discussion. The output of technical information collection and processing can be used as the input and basis of policy exchange and discussion.

The GST should be conducted by the CMA, while ensuring full participation of Parties, especially of developing countries, and other stakeholders may also participate. Meanwhile, the GST process should establish a specialized cross-cutting group to address the linkages between action and support in a balanced manner. 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.

The overall timeframe of the GST should not be more than one year, and should depend on the modality of the GST and the timeframe of information acquisition.

5. Outcome/outputs

(g) How to ensure that the outcome of the GST would inform Parties in enhancing, in a nationally determined manner, their actions and support in accordance with the relevant provisions of the Paris Agreement, as well as in enhancing international cooperation for climate action.

(h) What information will support this outcome?

To maximizing the GST's influence on enhancing Parties' ambition, the GST should deliver what policy makers truly concern and provide broad, positive, and practical information, such as good practices and experiences that can be repeated, as well as incentive cooperation mechanisms to help fulfill any gaps. Meanwhile, developing countries rely on finance, technology and capacity building support to enhance their actions, therefore, information on needs of support and how to enhance support should be included. Simply quantifying the gaps between ambitions and targets could not enhance actions or ambitions.

The outputs of the GST could include:

- (1) Assess the collective progress on mitigation, adaptation, means of implementation and support, and identify the gaps between the collective progress and the committed targets, and between the collective progress and the purpose of this Agreement and its long-term goals;
- (2) Summarize countries' experiences and lessons learned of climate change actions and policy practices in mitigation, adaptation and support, then identify opportunities and challenges;
- (3) Advice on strengthening relevant mechanisms under the Convention and the Paris Agreement as well as on enhancing international cooperation.

The outputs of the GST are closely connected with the needs and sources of inputs. The identification of information needs should reflect the output requirements of the GST.

The outcomes of the GST should serve as a reference for Parties to identify their follow-up actions and support and to strengthen international cooperation in addressing climate change. The final outcome of the GST should be agreed by all Parties. Any suggestions should be approved by the conference of Parties to the Paris Agreement, and reflect Parties' position and opinions in a comprehensive and balanced manner. Parties shall, in a nationally determined manner, take actions based on the outcomes of the GST.

In particular, it should be noted that the post 2020 global stocktake is based on the level of pre-2020 action. In this regard, the pre-2020 ambition level is of great importance.