



SUBMISSION BY THE SLOVAK REPUBLIC AND THE EUROPEAN COMMISSION ON BEHALF OF THE EUROPEAN UNION AND ITS MEMBER STATES

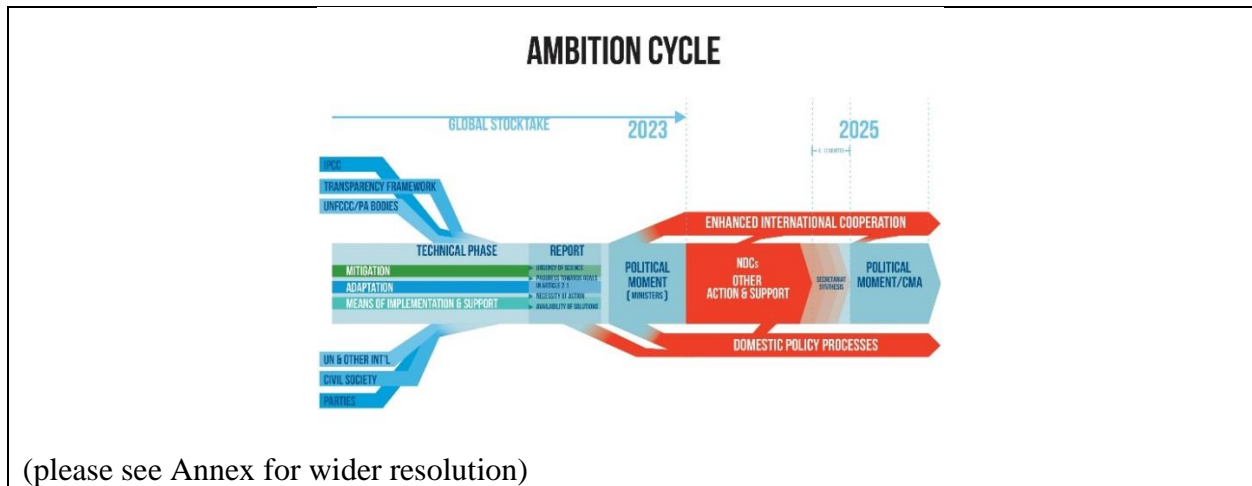
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Bratislava, 7 October 2016

Subject: Matters relating to the Global Stocktake (GST) referred to in Article 14 of the Paris Agreement

Key messages:

- The global stocktake (GST) provides a political moment that will inform Parties' domestic and cooperative action;
- The GST is part of a wider ambition cycle that will help deliver progressively more ambitious efforts as described in the relevant articles of the Agreement.
- The GST itself could entail a technical and a political phase.
- The GST should promote a shared understanding, inform and incentivise domestic processes, and help enhance collective efforts.
- The technical phase should deliver information on progress made, further action required and opportunities towards meeting the long-term goals of the Paris agreement.
- The political phase should promote a shared political understanding, inform and incentivize domestic processes and should enhance progressively ambitious action, both domestic and collective.
- Inputs to the technical phase could be those agreed in Paris as well as any other relevant, reliable and sound inputs from Parties, UN bodies, international organisations and civil society.
- Mitigation, adaptation and means of implementation and support should be treated in a balanced and tailored manner.
- Focused summaries with key information can feed into relevant international and domestic political processes.



I. Introduction

1. The EU and its Member States welcome the opportunity to submit views on the Global Stocktake (*GST*) referred to in Art. 14 of the Paris Agreement. We also offer a series of questions for discussions at the resumed session of APA-1.
2. The Paris Agreement and decision 1/CP.21 already determine some of the key aspects of the high level design of the GST, namely *where, when and what*. Article 14 stipulates that the GST shall be undertaken by the CMA (the *where*) every five years (the *when*), that it will take stock of the implementation of the agreement and its long term goals in a comprehensive and facilitative manner and that it will consider mitigation, adaptation and means of implementation and support in the light of equity and the best available science (the *what*). Decision 1/CP.21 also already provides a set of inputs to be taken into account in this process.
3. The procedural and substantive provisions to take stock every 5 years in order to regularly enhance and update our efforts as per Art. 14, is a process whereby:
 - The CMA will regularly assess the collective progress towards achieving the purpose of the Paris Agreement and its long-term goals; and
 - The outcome will inform Parties in updating and enhancing, in a nationally determined manner, their actions and support as well as enhancing international cooperation.
4. This implies that the GST should:
 - build a shared understanding of the overall effect of contributions and what collectively needs to be done to achieve the long term goals of the Paris Agreement; and
 - focus political attention and create awareness about potential and concrete options for increased climate action in order to contribute to increased ambition of domestic and collective action.

5. As mentioned above, the GST will be undertaken in the light of best available science and of equity. While it is not the objective of the GST to settle scientific nor equity questions, different aspects of both science (for example through the IPCC) and equity can be relevant to the GST's deliberations.

II. General considerations

6. The inputs and modalities of the GST must help to deliver its purpose and fulfil its role in the ambition cycle. Our work should be guided by the goals set out in Art. 2 of the Agreement, as well as the relevant Articles on mitigation, adaptation and means of implementation and support, ensuring a balanced and tailored approach to each element.
7. The modalities should ensure that the process is open and inclusive. At the same time, it needs to be efficient in the use of Parties' and other stakeholders' time and resources.
8. The GST must drive progressively more ambitious action in Parties' successive efforts. As Parties' contributions will be nationally determined, the outputs of GST should be sufficiently concrete to inform action. Additionally, we would note, the importance-of-the consideration of common timeframes for nationally determined contributions as per art. 4.10)

Questions to promote further consideration by Parties

How do we ensure that mitigation, adaptation and means of implementation and support are handled in a balanced and tailored manner?

How do we keep the process open and inclusive but also efficient and effective?

How do we ensure that the GST's collective assessment produces an "action oriented" outcome that drives ambitious outcomes in both individual and collective efforts?

III. Inputs

9. Paragraph 99 of Decision 1/CP.21 identifies a number of important inputs. The list is open-ended but the number of inputs should be manageable for the system to handle. In addition, the list under subparagraph (a) describes the areas to be covered but not all the sources of information on these areas.
10. Regarding information related to mitigation and the overall effect of the NDCs (subparagraph (a) (i)), this could be covered by an updated version of the Secretariat's synthesis report, by information coming from the transparency framework in line with Art. 13.7 of the Agreement, and by information provided in the context of art.4.19 (long-term low greenhouse gas emission development strategies).

11. In relation to adaptation (subparagraph (a)(ii)), in addition to a synthesis of adaptation communications the information provided by Parties in the context of the enhanced transparency framework (Art. 13 of the Agreement) would be relevant as well as the reports from the Adaptation Committee and Least Developed Countries Expert Group.
12. In relation to mobilization and provision of support (subparagraph (a) (iii)) and in order to be able to assess progress towards Article 2.1 (c), the GST will need to consider the current state of climate finance flows, both domestically and internationally, at a global level, encompassing low-carbon and climate resilient investments. Currently, there are no comprehensive quantitative sources available that can directly provide such information to the GST. However, a number of existing sources as the Biennial Assessment from the Standing Committee on Finance, have the potential to serve as inputs. Also, in relation to subparagraph (a) (iii) key inputs will be available through the enhanced transparency framework, as well as from information received under Decision 1/CP.21 paragraph 45 from agencies and financial institutions on incorporating climate-proofing and climate resilience measures. Note in addition that Art. 9.6 of the Agreement provides that the GST shall take into account relevant information provided by developed country Parties and/or Agreement bodies on efforts related to climate finance.¹ The GST will also need to consider information on technology development & transfer and capacity building, including the information contained in reports from Parties and inputs from dedicated UNFCCC bodies (such as TEC, CTCN and PCCB).
13. In keeping with the collective nature of the GST, and to help make the information from the enhanced transparency framework more manageable, the Secretariat could prepare a synthesis report on the basis of the reporting provided under Art. 13 of the Agreement.
14. In order for the GST to help deliver its purpose, input on potential and concrete options for increased climate action should also be considered. This could include information on untapped mitigation or adaptation potential, e.g. at a sectoral level, low-cost and cost-effective mitigation and adaptation options and technological developments as well as concrete policy options and best practices for shifting finance flows in accordance with Art. 2.1(c). Possible sources of such input could be technical processes that take place under the Convention, practice emerging from national and international action on the ground and/or relevant processes under other UN bodies or international organisations.

¹ See EU submission on 'Views on the development of modalities for the accounting of financial resources provided and mobilized through public interventions in accordance with Art. 9, paragraph 7, of the Paris Agreement' for a further discussion on this issue.

15. The EU considers IPCC reports as key inputs to the GST, in line with subparagraph (b) of paragraph 99 of Decision 1/CP.21.² In our view, the GST should consider the most recent IPCC assessment report, as well as relevant special reports that may be of particular importance for informing considerations on the future level of action needed to meet the long term mitigation goal.

16. The sources of input could usefully remain open-ended. Additional inputs brought forward by constituted bodies, other institutions and organisations outside the UNFCCC and/or Parties should be relevant, reliable, and in line with peer reviewed prevailing science. This could also help ensure that the inputs considered are up to date. A general invitation for Parties and observers to provide submissions as inputs to the GST could be one possible simple way to encourage further inputs.

Questions to promote further consideration by Parties

What further information will the GST need to deliver its purpose, and what sources would be able to provide that information?

Should further inputs be specifically mandated?

How do we ensure that inputs are relevant, reliable and in line with best available science?

IV. Modalities

17. The CMA is responsible for undertaking the GST. However, it will need to draw upon other bodies for the more technical aspects of the work. Parties will have to agree on the institutional and procedural arrangements necessary to ensure the GST can fulfil its purpose. As many Parties stated in Bonn, the GST could have both a technical and a political phase.

a) Technical phase

18. Given the breadth of information that will be provided by the inputs, an efficient technical phase could be used to gather, synthesise and begin to discuss the inputs and key messages. Its objective should be to help build shared understanding of the facts among Parties, in order to prepare for an assessment of the collective progress.

19. The technical phase could:

- Consider the long-term goals in Article 2 of the Agreement in 3 parallel focused discussions addressing mitigation, adaptation and means of implementation and support, to ensure a balanced and tailored treatment of all elements.
- Include presentations, Q&A and debate on key issues in each of the parallel discussions.

² See EU submission on 'Views from Parties and observer organizations on how the assessments of the IPCC can inform the global stocktake'.

20. The design of the technical phase could take into account the lessons learned from the Structured Expert Dialogue which provided a platform for Parties to engage with leading experts within a structured framework outside the formal negotiation track. In order to build real shared understanding of the challenges and solutions among Parties, and to remain open and inclusive, the technical phase could engage relevant and qualified stakeholders (including non-state actors) outside the UNFCCC.
21. The timing and the organisation of the technical phase are challenging since it needs to balance openness and inclusiveness with efficiency, and ensure that it considers inputs that are up to date. The EU is considering one year as the indicative timing for the process as a whole, feeding into political discussions at the subsequent CMA.

Questions to promote further consideration by Parties

What lessons learned from the Structured Expert Dialogue should inform the design of a technical phase?

Is one year a reasonable timeframe for a technical phase to commission, collect and synthesize relevant data?

What role should the subsidiary bodies, UNFCCC Secretariat or any bodies play in this phase of the GST?

22. As an intermediate output, the technical phase could produce focused summaries of the inputs and technical discussions that were conducted under each element, in line with the long-term goals of the Agreement. The summary should provide a basis for a political discussion; both internationally, during the political phase of the GST, and domestically, as Parties consider subsequent or updated NDCs and actions.
23. For mitigation, one option would be for the summary to focus on quantitative information that highlights the need for higher ambition in subsequent or updated NDCs. However, to be most useful to inform Parties' domestic processes and to support the ambition cycle as a whole, it should also raise awareness of concrete policy options that would deliver continuous and increased climate action and international cooperation.
24. For adaptation, Art. 7.14 provides guidance on the areas for the technical phase to address in order to provide relevant input to the political phase bearing in mind that the quality and comprehensiveness of adaptation information should improve over time, so as to allow mutual learning. In addition, the output of the technical phase could also inform and/or be taken up by Convention processes and existing bodies to enhance implementation of adaptation action and strengthen and improve the effectiveness and efficiency of the Adaptation Framework.

25. For means of implementation and support, the summary could provide evidence and create awareness on progress towards the transformational finance flows goal under Article 2.1c as well as untapped potentials and concrete policy options and best-practices to shift flows. When addressing concrete policy options that would deliver continuous and increased climate action and international cooperation, the summaries should also give consideration on how to enhance the capacity of developing country parties to implement the Paris Agreement, and to fully realize technology development and transfer in order to improve resilience to climate change and to reduce greenhouse gas emissions.

Questions to promote further consideration by Parties

For each element, what would be most important for the summary of the technical phase to provide that ensures added value to the political debate?

What would be the most appropriate timing for this process to last?

b) Political phase

26. The political phase could include a ‘political moment’ with Ministerial participation. It should aim to (i) promote a shared political understanding of the key issues, challenges and opportunities, so as to (ii) inform and create momentum for domestic processes that underpin the enhancing and updating of actions and support, as well as (iii) help enhance collective efforts.

27. The output of the political phase could take different formats. In either case it should be highlighting the state of collective progress and challenges towards meeting the long-term goals of the Agreement, expressing the common resolve of Parties to enhance their nationally determined future action to deliver these goals, and referring to concrete options for enhancing climate action and international cooperative action.

28. Political level engagement during the course of the ambition cycle is of the utmost importance. We could explore an additional moment outside of the CMA or UNFCCC and the role of the political leadership. The character of an additional moment and if and how it could serve the process should be further tested.

Questions to promote further consideration by Parties

What should the output of the political phase consist of in order to help achieve the desired outcomes of the GST? How should this output be produced?

How should the political phase fit within other elements of the ambition cycle to promote enhanced ambition and cooperation?

V. Conclusion

29. The EU and its Member States look forward to further conversations at APA-1 and we trust our Co-chairs to promote clear and structured discussions on this important matter.

Annex – diagram on ambition cycle

AMBITION CYCLE

