



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

Tallinn, 11/10/2017

Subject: Submission on the Global Stocktake (GST) - Possible elements of textual outline for the identification of the sources of input to and development of the modalities for the GST

Summary of key points

- This submission builds on the “possible textual outline” in the co-facilitators informal note as well as suggests elements for a draft CMA1 decision text. The focus of this submission is the organisation of the modalities for the Global Stocktake into a technical and a political phase.
- EU suggests a technical phase comprising focused technical dialogues targeting three workstreams: mitigation, adaptation, and finance flows and means of implementation and support. Each technical dialogue will reflect on progress towards the respective long-term goals and the relevant provisions of the Paris Agreement. The dialogues will take stock of where we are collectively, where we need to be and inform Parties of possibilities for enhanced individual and collective action, including through international cooperation.
- The technical dialogues could be organised jointly under SBI and SBSTA during the May/June session in the year of the GST, beginning in 2023 and every five years thereafter. Parties, the Secretariat, subsidiary bodies, constituted bodies, international organisations and non-Party stakeholders can present and discuss the inputs as included in a non-exhaustive list to be attached to the CMA1 decision. Issues that cut across the three workstreams will need to be taken into account.
- Each technical dialogue would result in a non-negotiated summary by their co-facilitators.
- The output from the technical phase will inform and serve as a basis for the political phase at a dedicated political ministerial segment at the CMA session in 2023 (and every five years thereafter) which should promote a shared political understanding and create momentum.

- The EU considers that events held outside the Paris Agreement process and during the course of the ambition cycle could make complementary important contributions.

I. Introduction

1. The European Union and its Member States (EU) welcome the opportunity to submit further views on the Global Stocktake (GST), and, in particular, on the modalities for the organisation of the GST. This submission builds on and should be read together with the EU's previous submissions¹.

2. Most of the essential elements necessary to run the ambition cycle and the GST are set out in the Paris Agreement and decision 1/CP.21. The CMA1 decision should therefore bring these elements together into a coherent narrative, setting out in a single decision text the purpose, scope, inputs, outputs and outcomes related to the ambition cycle that are spread out across the Paris Agreement and decision 1/CP.21. The narrative should emphasize that the GST is guided by the long-term goals of the Paris Agreement, and must retain the delicate balance of what was agreed in Paris with regards to adaptation, mitigation, and finance flows and means of implementation and support.

3. The CMA decision should also contain any additional elements necessary to make the GST and the Paris Agreement ambition cycle operational. This submission focuses on these additional necessary elements, in particular on modalities for the organisation of the technical and the political phases of the GST. Given that implementing the Paris Agreement is an iterative process and will continue to evolve over time, the CMA1 decision should allow for refinements to the design and operation of the GST to be agreed by future CMAs on the basis of experience gained.

4. This submission is designed to contribute to the continued development of the "possible textual outline" in the co-facilitators' note that can bring us closer to a decision for APA item 6. The objective of the forthcoming APA session should be to move from such "possible textual outline" to a draft decision text to be further considered towards adoption at CMA1.3 in 2018.

5. As a contribution towards the further development of the co-facilitator's note, Annex 1 of this submission outlines the elements for a draft decision text whereas Annex 2 of this submission further summarises key substantial aspects to be addressed under the technical phase for each of the workstreams.

¹ EU submissions on Global Stocktake from 07/10/2016 and 02/05/2017



II. Modalities and the inputs for the Technical Phase

a) Structure of the Technical Phase

6. Article 14 provides that the GST will assess collective progress towards achieving the long-term goals of the Agreement considering mitigation, adaptation and means of implementation and support in the light of equity and the best available science. Given the unique nature of each of these challenges and the provisions set out in the Paris Agreement and of decision 1/CP.21, the technical phase should comprise three distinct workstreams: mitigation, adaptation and finance flows and means of implementation and support.

7. The design of each of the workstreams should be considered in a balanced and tailored manner in the context of the Agreement's purpose (Article 2.1) and reflect on progress for each of the long-term goals² and the relevant provisions of the Agreement. The GST contains backward and forward looking elements hence the technical phase will reflect on where we are collectively, where we need to be in relation to the long-term goals and raise awareness of opportunities for enhanced climate action and international cooperation.

b) Sources of input

8. Para 99 of Decision 1/CP.21 sets the basis for the broad categories of sources of input. We would expect that a list of sources of input both for overarching issues and for adaptation, mitigation and finance flows and means of implementation and support would be annexed to the CMA decision in 2018 as an indicative, non-exhaustive list that could be reviewed by SBSTA at its session in May/June 2021.

9. These inputs should include the information necessary for the three workstreams to take stock of where we are collectively, where we need to be, and what more we need to do towards achieving the respective long-term goals, as well as opportunities for climate action to achieve these goals. Inputs key to answering each of these questions include, but are not limited to, those contained in paragraph 99 of Decision 1/CP.21 such as latest reports of the IPCC. These should be complemented with input relevant for assessing progress with respect to the long-term goals as provided by constituted bodies and processes (e.g. the enhanced transparency framework) based on mandates from the Paris Agreement and decision 1/CP.21. In addition the Biennial Assessment and Overview of Climate Finance Flows by the Standing Committee on Finance and information on Parties' long-term low greenhouse gas emission development strategies should inform the technical phase.

² for mitigation Article 2.1 a and Article 4.1, for adaptation Article 2.1 b and Article 7.1 whereas Article 7.14 stipulates what the GST with regards to adaptation shall address, for finance flows Article 2.1.c and considering the means of implementation and support as per Articles 9.6 and 10.6.

10. The CMA could invite Parties, the Secretariat, subsidiary bodies, constituted bodies, the IPCC and other intergovernmental organisations and non-Party stakeholders that include climate change policies at the forefront of their work, to prepare and provide these inputs in a timely manner before the technical phase starts. Preferably, this work should be undertaken throughout the year preceding the technical phase in order to prepare the organisation of the technical dialogues as described in the subsequent section.

c) Organisation of work

11. The technical phase could be organised jointly under SBI and SBSTA (during the May/June session 2023 and every five years thereafter) in the form of focused technical dialogues for each of the three workstreams. Each dialogue should operate under agreed terms of reference specific to each workstream. Suggested elements for terms of reference for each of the workstreams are outlined in Annex 2 of this submission. Parties, the Secretariat, subsidiary bodies, constituted bodies, international organisations and non-Party stakeholders can present their views on specific aspects drawing on the non-exhaustive list of inputs. The SBI and SBSTA chairs could appoint two co-facilitators per technical dialogue who would moderate, contribute to the organisation of the technical dialogues (making use of the updated list of sources of input), and, in collaboration with the Secretariat, prepare the summary of each dialogue.

12. Each technical dialogue would be organised to address the questions of where we are collectively with regards to progress towards the respective long term goals, information in relation to where we need to be with regards to the respective long term goals and to inform Parties of the potential to enhance climate action and international cooperation, as well as approaches that could enhance effectiveness in implementation.

13. To address the relationships between implementing mitigation and adaptation efforts and the financial flows underpinning these, each dialogue should be invited to take due account of such cross-cutting considerations. This could be aspects reported through the enhanced transparency framework, co-benefits arising from outcomes in implementation of finance and mitigation and adaptation efforts, information-sharing on how to overcome barriers and good practices and policy options, actions and approaches that could enhance effectiveness in implementation and support. Highlighting opportunities and good practice from other multilateral fora, for instance actions under Agenda 2030 could also be considered.

14. Each dialogue should also be informed by structured inputs by relevant actors on opportunities to enhance international cooperative action, availability of solutions and good practices that contribute to the long-term goals of the Paris Agreement. Relevant bodies serving the Paris Agreement with mandates to enhance implementation and improve the effectiveness and efficiency of climate action could report on opportunities to overcome barriers and enhance effectiveness in implementation. In addition, expert organisations



could report on opportunities and potential for cost-effective actions and concrete policy options.

d) Output of the technical phase

15. The co-facilitators would summarise key aspects deriving from the technical dialogues and take note of the sources of inputs. Each technical dialogue would result in a non-negotiated summary by the co-facilitators.

III. Modalities and input for the political phase

16. The output from the technical phase will inform and serve as the basis for the political phase. The political phase should be in the form of a dedicated ministerial segment at the CMA session in 2023 (and every five years thereafter) designed to raise political awareness of the collective progress to date in achieving the Agreement's purpose and its long-term goals and incentivise Parties to undertake further ambitious, efficient and effective efforts. It should promote a shared political understanding of the key issues, challenges and opportunities as evidenced in the technical phase alongside the three workstreams in order to inform and create momentum for domestic processes that underpin the enhancing and updating, in a nationally determined manner, of Parties' actions and support both collectively and individually.

17. As in the technical phase, opportunities to enhance climate action should inform the political phase, demonstrating cooperative action, best practices and examples of how to overcome barriers in implementation through the participation of high-level non-Party-stakeholders representatives at a given moment. Such potential and availability of solutions will inform Parties of opportunities that could incentivise further ambitious actions and support implementation of efforts in their NDCs and national adaptation processes. The output could be captured in the format of a political declaration and /or CMA decision.

Outcome of the Global Stocktake to inform future actions and domestic planning processes

18. The outcome of the GST for mitigation should enable Parties' subsequent NDCs as per Article 4.9 and 4.3, to better achieve the purpose of the Agreement in Article 2.1 (a) and the aims set out in Article 4.1, as well as in enhancing international cooperation for climate action. The GST could also enhance the understanding of climate pathways, potential for cost-effective mitigation action both short - and longer term as well as inform Parties in relation to their long-term low GHG emission development strategies. Parties' domestic action will both inform and be informed by the GST. Therefore, it is important for countries to take into account the moments of international reflection in their domestic processes and



that these policies recognize the long term goals, reporting timelines and review cycles of the Paris Agreement.

19. The outcome of the GST for adaptation should be an incremental increase in Parties' adaptation actions and efforts, with a view to enhancing adaptive capacity, strengthening resilience and reducing vulnerability to climate change, at the local and national level, as well as through international cooperation. In this regard, the GST will help identify good practice, incentivize cooperation, enhance understanding and awareness of risks and accordingly, Parties' adaptation strategies.

20. The outcome of the GST for finance flows and means of implementation should be enhanced action to make finance flows consistent with the mitigation and adaptation goals of the Agreement set out in Articles 2.1 (a), 2.1(b), 4.1 and 7.1, including the shifting of finance flows from high greenhouse gas and climate vulnerable development towards low greenhouse gas and climate resilient development. This will include, but is not limited to, improved understanding of how support can most effectively be provided, mobilised and utilised to achieve these goals.

21. The time between the convening of the ministerial segment and subsequent communications of NDCs by 2025 should be followed by action through domestic planning processes and implementation. To further spur and incentivize climate action and political leadership and momentum the EU considers that events held outside the Paris Agreement process and during the course of the ambition cycle could make complementary important contributions.

EU views on pre-sessional roundtable of 5 November

22. As highlighted in the introduction, the EU is of the view that the co-facilitators' 'possible textual outline' is a basis to continue our consideration of this item. Our proposal would be to use the pre-sessional roundtable to initiate identifying elements for the draft CMA decision within this outline. While doing so, we would suggest focusing first on the modalities for the organisation of the GST process, followed by a discussion on sources of input in relation to the organisation of the GST. Once the modalities become more crystallised, the parts on interlinkages and on input can be more usefully addressed.



ANNEX 1 – Elements for draft decision text

Technical phase

- CMA to decide that the technical phase will be jointly undertaken by SBI and SBSTA to take stock of progress towards the long-term goals as outlined in Article 14
- CMA to decide that the technical phase will comprise three distinct technical workstreams;
 - (i) mitigation,
 - (ii) adaptation
 - (iii) finance flows and means of implementation and support

A technical dialogue for each of the workstreams will be conducted to report on collective progress towards each of the three long-term goals stipulated in article 2.1 and corresponding long-term goals on mitigation (Article 4.1) and adaptation (Article 7.1)

- CMA to decide that these technical dialogues will address information with regards to
 - taking stock of Parties' efforts and commitments and where we collectively stand in relation to progress towards the long-term goals
 - raising awareness about potential and opportunities for enhanced climate action and international cooperation
- (Placeholder for substantive guidance for each workstream)
- CMA to request SBI and SBSTA chairs to organise in May/June 2023 and every five years thereafter technical dialogues for each of the three workstreams (mitigation, adaptation, and finance flows and means of implementation and support) of the GST, tailored to the specificities of each of the workstreams and their respective objectives and taking due account of cross-cutting issues.
- Request to SBI and SBSTA chairs to start each of the technical dialogues with workshops where the sources of input as outlined in the non-exhaustive list will be presented.
- Request to SBI and SBSTA chairs to facilitate within each technical dialogue discussions among Parties, including the participation from observers with the aim to see to what extent the collective ambition must increase and raise awareness of concrete opportunities to do so.
- Request to SBI and SBSTA chairs to appoint 2 co-facilitators per workstream with task of facilitating the technical dialogues for each workstream and who would moderate, contribute



to the organisation of the technical dialogues in collaboration with the Secretariat and prepare the summary from each technical dialogue.

- Request that each technical dialogue be summarized by the co-facilitators.
- Invite subsidiary bodies, constituted bodies, Parties, Secretariat, relevant international organizations and non-Party stakeholders to prepare their inputs for the technical phase well in time and direction to the Secretariat to compile information for the technical phase the year in advance.
- Possibility to refine elements of the overall GST process on the basis of experience gained.

Sources of input

- CMA confirming paragraph 99 of decision 1/CP.21 as a basis for establishing a non-exhaustive list of sources of input;
- CMA agreeing that input should be based on the best available science addressing the collective progress by Parties and efforts to date, evidence on the level of efforts of existing pledges, commitments and NDCs and their effects towards the objectives of the Paris Agreement as well as opportunities towards meeting the long term goals of the Paris Agreement.
- CMA taking note of/agreeing the indicative non-exhaustive list as attached to the decision and inviting SBSTA to review such list at its session in May/June 2021
- Agreeing to update the list prior to each GST

Political phase

- CMA to decide on a dedicated political ministerial segment at its session in 2023 and every five years thereafter with the aim to promote a shared political understanding of the key issues, challenges and opportunities as evidenced in the technical phase in order to inform and create momentum for domestic processes that underpin the enhancing and updating of actions and support both collectively and individually and raise awareness of opportunities for enhanced international cooperation
- CMA to capture the output in a political declaration and/or a CMA decision.
- Placeholder on possible events outside the CMA or UNFCCC during the course of the ambition cycle.
- CMA to have the possibility to refine elements of the overall GST process on the basis of experience gained, including the FD2018.



ANNEX 2 – Substantial elements for each of the workstreams in the technical phase

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. The outcome of the GST should raise the public awareness and the political will necessary to trigger the domestic processes that will update and enhance future nationally determined actions and support, and to enhance international cooperation in line with the Agreement's long-term goals.

Generally the technical phase should:

- Take stock of Parties' efforts and commitments and collective progress towards achieving the Agreement's purpose and its long-term goals based on best available science.
- Raise awareness of concrete policy options and opportunities for enhanced climate action for achieving the long-term goals and international cooperation.

For each of the technical dialogues this would imply looking into:

Mitigation

- Information on the basis of best available science on the level of effort of the existing pledges, commitments in NDCs and information reported under Article 13.7 in face of the global mitigation action required in accordance with best available science to achieve the Agreement's long term goals stipulated in Article 2.1(a) and Article 4.1
- Collective progress by Parties and efforts to date as well as experiences in overcoming barriers to the implementation of mitigation policies;
- Policies, measures, cost-efficient solutions as well as other initiatives with high mitigation potential

Adaptation

- Information on progress towards achieving the long-term goals as stipulated in articles 2.1(b) and 7.1, including on the state of the art of adaptation efforts and the progress in the implementation of Parties' adaptation actions and planning processes at all levels, in international cooperation as well as challenges ahead;
- Information on progress achieved regarding the adequacy and effectiveness of adaptation and support provided for adaptation;



- Good practices to offer around options for increasing adaptation action;
- The need for and benefits of mainstreaming adaptation action into development planning.

Finance flows and Means of Implementation and Support

- A stocktake of collective progress towards reaching the long-term goal in Article 2.1(c) of making finance flows consistent with a pathway towards low-greenhouse gas emission and climate resilient development, including experiences overcoming barriers to the implementation of policies that align finance flows.
- Quantitative information of the current state of climate finance flows, both domestically and internationally, at a global level, encompassing low greenhouse gas and climate resilient investments, informed among others by up to date accounting methodologies with the aim of sharing best practice;
- Quantitative information on the current state of wider finance flows and their consistency with a pathway towards low-greenhouse gas emission and climate resilient development, including risk of lock-in of high emission technology and climate vulnerability
- Collective progress by Parties and efforts to date as well as experiences in mobilization and use of means of implementation and support;
- Qualitative information regarding concrete measures, policies and solutions which have successfully triggered transformational change of the financial sector support a low greenhouse gas emission and climate resilient economy, with the aim of sharing best practice. Information on the progress made on implementing capacity-building plans, an enabling environment for technology development and transfer and all other policies, actions or measures to implement the Paris Agreement.