

## **Information note on the first meeting of the technical dialogue of the first global stocktake under the Paris Agreement**

### **Note by the co-facilitators**

*2 May 2022*

## **I. Introduction**

1. At its first session, the Conference of the Parties serving as the meeting of the Parties to the Paris Agreement (CMA) recalled that the CMA shall periodically take stock of the implementation of the Paris Agreement to assess the collective progress towards achieving the purpose of the Agreement and its long-term goals, and that it shall do so 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.<sup>1</sup>

2. This process, referred to as the global stocktake (GST), consists of the following components: information collection and preparation; technical assessment; and consideration of outputs.<sup>2</sup> The components follow one another, but not in strict sequence (e.g., information collection and preparation overlaps with the technical assessment). Equity and ambition, based on the best available science will be considered in a Party-driven and cross-cutting manner throughout the GST,<sup>3</sup> recognizing that the global stocktake is crucial for enhancing the collective ambition of action and support towards achieving the purpose and long-term goals of the Paris Agreement.<sup>4</sup>

3. CMA 1 also decided that the GST will be conducted with the assistance of the Subsidiary Body for Implementation (SBI) and the Subsidiary Body for Scientific and Technological Advice (SBSTA), which will establish a joint contact group (JCG) on this matter,<sup>5</sup> and resolved to engage in a technical dialogue (TD) that aims to support the work of the SBI and SBSTA through expert consideration of inputs, as identified in the sources of input for the GST.<sup>6</sup> The TD will:<sup>7</sup>

(a) Undertake its work through a focused exchange of views, information and ideas in in-session roundtables, workshops or other activities;

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<sup>1</sup> Decision 19/CMA.1, paragraph 1.

<sup>2</sup> Decision 19/CMA.1, paragraph 3.

<sup>3</sup> Decision 19/CMA.1, paragraph 2 and preamble.

<sup>4</sup> Decision 19/CMA.1, preamble.

<sup>5</sup> Decision 19/CMA.1, paragraph 4.

<sup>6</sup> Referred to in decision 19/CMA.1, paragraphs 36 and 37.

<sup>7</sup> Decision 19/CMA.1, paragraph 6.

(b) Organize its work in line with taking stock of the implementation of the Paris Agreement to assess the collective progress towards achieving its purpose and long-term goals, including under Article 2, paragraph 1(a–c), in the thematic areas of mitigation, adaptation and means of implementation and support, noting, in this context, that the GST may take into account, as appropriate, efforts related to its work that:

- (i) Address the social and economic consequences and impacts of response measures;
- (ii) Avert, minimize and address loss and damage associated with the adverse effects of climate change.

4. Pursuant to decision 19/CMA.1, paragraph 6(c), we have been nominated by Parties as co-facilitators for conducting the technical dialogue and for preparing a factual synthesis report and other outputs of the technical assessment of the first GST with the assistance of the secretariat.

5. We have prepared this note under our own responsibility. It presents our approach to the conduction of the first technical dialogue, outlining the activities that will be carried out, as well as the preparations we have undertaken that are consistent with the modalities of the GST outlined in decision 19/CMA.1 and are based on informal consultations with Parties and observer organizations. We hope this note will be useful for Parties, observer organizations and other non-Party stakeholders (NPS) to prepare for the upcoming technical dialogue.

## II. Approach to the 2022-23 Technical Dialogue

6. The first GST will unfold in a critical decade for climate action. It will end two years before the next round of submissions by Parties of their NDCs in 2024-25 and will therefore have a key role to set the course for further ambitious action and support, providing an opportunity to focus the global climate engagement on implementation and international cooperation.

7. In this context, the technical dialogue (TD) is a conversation among Parties, experts and NPS. The TD will aim to develop a shared understanding of the latest information on the implementation of the Paris Agreement and progress towards the purpose and its long-term goals, based on the best available scientific information.

8. We intend to focus the dialogue on how gaps in implementation of the Paris Agreement can be bridged towards supporting an outcome of the GST that informs Parties in updating and enhancing their actions and support as well as enhancing international cooperation for climate action and on identifying opportunities for action across all topics<sup>8</sup> of the GST. While differences in perspectives will be unavoidable, we should aim to build a shared understanding on opportunities to address these gaps.

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<sup>8</sup> In this note, “topics” refer to the thematic areas of the GST, referred to in decision 19/CMA.1, paragraph 6(b) as well as to the efforts referred to in decision 19/CMA.1, paragraphs 6(b)(i) and (ii).

9. Three meetings of the TD will be conducted at SB 56<sup>th</sup>, 57<sup>th</sup> and 58<sup>th</sup> sessions respectively: June 2022 (TD1.1), November 2022 (TD1.2), and June 2023 (TD1.3). All the inputs and topics, in particular the linkage among various issues, will be discussed in a balanced, holistic and comprehensive manner with a balanced allocation of time between thematic areas, taking into account equity considerations and ambition, based on the best available science.
10. Throughout these meetings, we intend to use a learning-by-doing approach, adjusting the design of the TD process after each meeting, as necessary. Such a learning-by-doing approach seems appropriate, given that this is the first TD. In outlining the approach in this note, we have borne in mind previous experiences of processes under the UNFCCC, such as the Talanoa dialogue and the structured expert dialogue of the periodic review.
11. The first meeting of the 2022–23 technical dialogue (TD1.1) will be conducted in multiple formats – plenaries, roundtables, and a world café session. These formats will facilitate effective participation, as well allow the in-depth discussion of topics across the scope of the GST.
12. In order to facilitate focused exchanges, participants will be requested to join specific topical roundtables, each focusing on the thematic areas of the GST. Each roundtable will have multiple discussions during TD1.1. While roundtables are structured in this way to ensure that each theme receives detailed consideration, participants are encouraged to make links across themes and efforts referred to in paragraph 6(b) of 19/CMA.1 wherever relevant. Space may be given at later sessions to specific discussions drawing from expertise and past discussions across roundtables, applying a learning-by-doing approach.
13. Given the breadth of issues within each theme, some topics may be considered at later roundtables. While we expect to continue the practice of roundtables at later meetings of the TD, the topics of roundtables may shift based on the discussions at TD1.1.
14. As requested by the CMA<sup>9</sup> we will summarize its outputs in summary reports for each thematic area of the GST, taking into account equity and ambition, based on the best available science. We will prepare the overarching factual synthesis of these reports in a cross-cutting manner and make it available to the consideration of output component of the GST.

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<sup>9</sup> Decision 19/CMA.1, paragraph 31.

### III. Preparations for the first meeting of the technical dialogue (TD 1.1)

15. In the build-up to the TD 1, the Chairs of the Subsidiary Bodies, in response to mandates from decision 19/CMA.1:<sup>10</sup>

(a) Prepared a non-paper and, after consulting with Parties, a revised non-paper,<sup>11</sup> aiming to assist Parties and NPS in their preparation for the first GST. This paper included guiding questions for the information collection and preparation component;<sup>12</sup>

(b) Issued a call for inputs for the GST;<sup>13</sup>

(c) Prepared guiding questions for the technical assessment and revised them based on views expressed at informal consultation with Parties held in October 2021 on this matter (see appendix I).

16. In response to the above-mentioned call for inputs 84 submissions were received from Parties (6 from groups of Parties and 10 from Parties),<sup>14</sup> 68 from UN Agencies, intergovernmental organizations (IGOs), non-governmental organizations (NGOs) and NPS by 22 April 2022.<sup>15</sup> We would like to take this opportunity to thank everyone for their contributions to TD1.1.

17. Under our guidance, the secretariat prepared, for the technical assessment, the synthesis reports referred to in decision 19/CMA.1, paragraph 23. The relevant constituted bodies and forums and other institutional arrangements under or serving the Paris Agreement and/or the Convention also prepared for the technical assessment, with the assistance of the secretariat, synthesis reports on the information identified in decision 19/CMA.1, paragraph 36 in their areas of expertise.

18. As requested by the CMA,<sup>16</sup> the secretariat facilitates the online availability of all inputs to the GST from Parties,<sup>17</sup> by thematic area, and will organize a webinar to clarify the methodologies and assumptions used to aggregate the inputs. Appendix II describes the GST Information Portal and provides

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<sup>10</sup> Also see the scenario notes by the Chairs of the Subsidiary Bodies available at: <https://unfccc.int/process-and-meetings/bodies/subsidiary-bodies/sbsta-chair-lobby> and <https://unfccc.int/process-and-meetings/bodies/subsidiary-bodies/sbi-chair-lobby>.

<sup>11</sup> [https://unfccc.int/sites/default/files/resource/Non-paper%20on%20Preparing%20for%20GST1\\_0.pdf](https://unfccc.int/sites/default/files/resource/Non-paper%20on%20Preparing%20for%20GST1_0.pdf).

<sup>12</sup> Decision 19/CMA.1, paragraph 7.

<sup>13</sup> Decision 19/CMA.1, paragraph 19. The call for inputs is available at [https://unfccc.int/sites/default/files/resource/Call%20for%20inputs%20SB%20Chairs\\_GST\\_reminder\\_Feb23.pdf](https://unfccc.int/sites/default/files/resource/Call%20for%20inputs%20SB%20Chairs_GST_reminder_Feb23.pdf).

<sup>14</sup> The numbers for groups of Parties and Parties are as of 3 May 2022.

<sup>15</sup> Submissions for the GST received after this date will be considered for the second meeting of the technical dialogue. Please note that some of these submissions are also available in the submission portal (which does not include the submissions by NPS that are sent directly to the secretariat).

<sup>16</sup> Decision 19/CMA.1, paragraph 21.

<sup>17</sup> Global Stocktake information portal: [https://unfccc.int/topics/global-stocktake/information-portal?field\\_document\\_topic\\_target\\_id=All&field\\_document\\_type\\_target\\_id=4509&field\\_calculated\\_author\\_type\\_target\\_id=All](https://unfccc.int/topics/global-stocktake/information-portal?field_document_topic_target_id=All&field_document_type_target_id=4509&field_calculated_author_type_target_id=All).

links to the above-mentioned synthesis reports, submissions by Parties and NPS, as well as links to the latest IPCC reports from the sixth assessment report (AR6).

19. Inputs have reflected a broad range of topics. From 84 submissions. The majority of the submissions addressed mitigation (53) and adaptation issues (39). 40 of these submissions addressed issues related to means of implementation and support (finance (29), technology (20) and capacity building (18)). Elements of response measures (15) and loss and damage (20) were also addressed. Many submissions refer to best available science (36) some to equity (17).

20. A preliminary analysis of the submissions, using a data mining software, shows that the majority of the submissions have mentioned climate action (700 times across the submissions). More specifically, adaptation action was mentioned 79 times, mitigation action 36 times, and enhanced action 25 times.

21. Several of these submissions made suggestions on how to organize the technical dialogue, including that the dialogue should be based on evidence and be organized in a dynamic way, as well as that knowledge should build from one meeting of the technical dialogue to the next, and on how to capture the outcomes of the dialogue (e.g. include an annex to the summary report with best practices). Several submissions provided input structured along the lines of the SB Chairs' guiding questions for the technical assessment component of the GST, or highlighted specific issues to be considered, either in general or under the topics of the GST.

22. Based on the analysis of submissions received, we developed the draft list of issues included in section V below, with support from the Secretariat.

23. We note that Parties, as requested by decision 18/CMA.1, paragraph 3, will submit their first biennial transparency reports in 2024, after the first GST is scheduled to conclude. Therefore, the first GST will be based upon information provided by Parties in their biennial reports and biennial update reports.

#### **IV. Conducting the first meeting of the technical dialogue**

24. The overall focus of the first session of the Technical Dialogue (TD1) will be to launch initial discussions from a shared point of departure. To achieve this goal, at TD1.1 we will use multiple formats for the events that will be organized.

## A. Multiple formats

25. Given that the TD will undertake its work through “a focused exchange of views, information and ideas in in-session roundtables, workshops or other activities”,<sup>18</sup> we will organize the TD1.1 meeting in multiple formats, as follows:

- (a) Two plenary sessions will be held, one at the start of the meeting will ensure a shared understanding on the scope and share content of the discussions by all participants; and another one at the end of the meeting, in which reports from the roundtables will be presented;
- (b) Three roundtables, structured around the three thematic areas of the GST, will allow for interactions in smaller settings – while enabling virtual observation. They will be an opportunity for focused discussions on collective progress under each thematic area of the GST, opportunities and challenges for enhancing action and support in the context of the TD guiding questions. Three roundtable discussions will be organized for each roundtable. Suggested norms for discussion in the roundtable that will enable a robust and fruitful dialogue are suggested in appendix III;
- (c) A World café format of rapid, focused presentations, will facilitate interactive exchange across thematic areas, starting a dialogue on connections and holistic understanding;
- (d) A reception is planned for informal interaction.

26. Figure 1 below illustrates the timeline of the above-mentioned TD1.1 events, as well as of other science and periodic review events. To facilitate participation, clashes among these events were avoided to the extent possible. Details on each of these formats can be found below.

**Figure 1:** Timeline for relevant events

Monday	Tuesday	Wednesday	Thursday	Friday	Saturday	Sunday	Monday	Tuesday	Wednesday	Thursday
				TD Round Tables	1		TD Round Tables			
				2			1 2 3	TD Closing		
		SBSTA-IPCC WIII	RD 14	3						
										SBSTA/ SBI Closing
SBSTA-IPCC WII					TD Round Tables					
	SED (1)	SED (2)	TD opening	TD World Café (M/A/Mot)	1 2 3					

<sup>18</sup> Decision 19/CMA.1, paragraph 6(a).

**Note:** The scope of roundtables 1, 2 and 3 is explained in section V below. The structured expert dialogue (SED), the fourteenth meeting of the research dialogue (RD 14) and the SBSTA–IPCC special events on the WGII and III contributions to AR6 are relevant for the TD but they are not part of the GST.

## **B. Opening plenary**

27. TD1.1 will open with welcoming remarks by the Chairs of the Subsidiary Bodies and the Executive Secretary of the UNFCCC. The Chair of the Intergovernmental Panel on Climate Change (IPCC) will provide a keynote address on policy-relevant messages from AR6.

28. We will briefly outline the process for TD1.1 and open the floor for initial contributions by major negotiating Groups, Parties and NGO Constituencies in line with the established practice. We encourage participants to provide their expectations for the discussions at the TD, including on priorities for the roundtable discussions and what might enable greater collective progress in implementing climate action, achieving the purpose of the Paris Agreement and advancing progress towards its long-term goals.

## **C. Roundtables**

29. We will organize three roundtables at TD1.1. Their scope and initial lists of issues to be considered, reflecting inputs received, can be found in section V. Note that placement of an issue in a roundtable gives it a ‘home’ and ensures it will be discussed, while it can be raised in other discussions as well.

30. The discussions will be informed by the relevant SB Chairs guiding questions for the technical assessment (included in appendix I for ease of reference) and a moderator will seek to enable an interactive discussion among Parties, NPS and experts in the roundtables based on the norms for discussion presented in appendix III. A rapporteur will keep track of what is being discussed and will report back to the closing plenary.

31. During the first roundtable discussion, participants will clarify any questions on the process and on issues they suggest the roundtable focus on. The discussion will include context-setting presentations specific to the roundtable’s subject matter by invited experts. Participants will be invited to discuss responses to relevant guiding questions for the thematic area and share initial views on the progress to date.

32. The second roundtable discussion will have a series of short panel presentations by experts (based upon issues drawn from inputs) with extended time for discussions by roundtable participants.

33. The third roundtable discussion will have time for further interactive exchanges and will discuss outputs to be reported from the roundtable to the closing plenary session.

34. We encourage participants to bring forward any good practices to enhance climate action and experience and opportunities to enhance international cooperation on mitigation and adaptation and to increase support, in order to overcome barriers and challenges faced.

35. While we will strive to address major concerns at each meeting of the TD within roundtable presentations and discussions, some such concerns may be reserved for later sessions of the TD. Moderators are instructed to keep discussions focused on issues at hand but will note where linkages or references to other topics are raised.

36. At TD1.2 and 1.3, we expect to build on the discussions at TD1.1. In particular, we expect that later discussions will increasingly consider the interconnections among issues and on opportunities to enhance and strengthen Parties' actions and support and international cooperation for climate action.

#### **D. World café**

37. The world café is an engagement process<sup>19</sup> which makes use of an informal setting for participants to explore topics across the scope of the GST, in a larger room with several small tables. The setting facilitates interactive exchanges, as participants can rotate and circulate, with signals every 30 or 45 minutes. An expert and rapporteur will remain at each table.

38. In this setting, relevant experts, Parties, constituted bodies, observer organizations and other NPS will discuss specific thematic areas of the GST as well as efforts related to response measures and loss and damage, with balance among issues and across the thematic areas, at smaller tables in order to establish a shared information basis, as well as to discuss interconnections among them.

#### **E. Creative space**

39. We plan to organize an informal creative space, for posters, films and other ways of facilitating a wide range of perspectives to be heard for TD1.2 and TD1.3.

#### **F. Closing plenary**

40. At the closing plenary of TD1.1, reports from the roundtables will be presented by the rapporteur. This will provide an opportunity to hear what emerged in these initial dialogues to promote transparency and a common understanding across all participants. The co-facilitators will offer some initial impressions of the discussions, and open the floor for comments from groups, Parties, observer organizations and other NPS.

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<sup>19</sup> For more information on this methodology, please see: <http://www.theworldcafe.com/wp-content/uploads/2015/07/Cafe-To-Go-Revised.pdf>.



## **G. Participation**

41. Participation at the meetings of the TD is open-ended. Multiple formats mean that there will be plenary meetings in larger rooms; round-table meetings in smaller rooms; and a world café session in a larger setting but with many discussions at smaller tables. We encourage balanced participation across the multiple formats to facilitate the greatest amount of interactive exchange between participants. We aim to facilitate continuity and flexibility in participation across the three meetings of TD1.

42. We expect significant expertise to be brought to each of the roundtables and the world café by Parties and NPS. Consequently, bearing in mind logistical limitations, we expect space for up to 60 technical experts from Party delegations across three roundtables. With the assistance of the Secretariat, we will invite up to 45 non-Party participants across three roundtables from the nine NGO Constituencies and other NPS.

43. Each of the roundtables will have about 40 seats for participants and experts. The roundtables will be open, and to facilitate more participation in round-table discussions, further seats be available in the room for additional Parties and observer organizations to listen to the discussions. Time-allowing, the floor will be opened for these additional Parties and observer organizations to make contributions as appropriate. Participants registered for the sessions of the subsidiary bodies will be able watch the plenary meetings and the roundtable discussions via live streaming.<sup>20</sup>

44. The time for dialogue during sessions of the Subsidiary Bodies will be limited. We will look ahead collectively to TD1.2 (and TD1.3) and encourage engagement of participants of the roundtables between sessions. Furthermore, there will be further opportunity for everyone to provide updates of inputs three months before TD1.2 (7 August 2022), and once more before TD1.3 (5 March 2023).

## **V. Reflections on the inputs for the first meeting of the technical dialogue and issues for the roundtables**

45. Each roundtable will begin their discussions based on inputs from Parties, NPS and experts received, in response to the SB Chairs' call for inputs in September 2021, noting the guiding questions for the Technical Assessment. Across their considerations, the roundtable discussions will capture and highlight the best available science and perspectives on equity and ambition.

46. In this section, we highlight topics related to each roundtable topic that have been identified within the inputs received. The list of topics is not exhaustive nor prescriptive. Round-table participants are encouraged to add to the discussion other topics and perspectives. Additionally, some of the topics identified below within one roundtable may also be discussed in others where appropriate. Finally, given

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<sup>20</sup> Information on registration and on health, safety and security measures for the session are available at <https://unfccc.int/SB56#participation>.

time constraints, some issues may be considered in greater detail at later meetings of the Technical Dialogue.

## A. Roundtable 1

47. This roundtable will take stock of implementation of the Paris Agreement to assess collective progress towards the long-term temperature goal in Article 2.1 (a) and consider how collective progress with respect to goal in Article 4.1 contributes to achievement of the temperature goal, as well as collective progress in increasing the ability to adapt to the adverse impacts of climate change and foster climate resilience and low greenhouse gas emissions development, in a manner that does not threaten food production (Article 2.1 b).

48. In this context, the roundtable on mitigation will focus its discussions at TD1, in part, on pathways consistent with these goals and the related systemic changes needed for just transitions towards net zero emissions. Discussions at this roundtable will take into account, as appropriate, efforts related to its work that address the social and economic consequences and impacts of response measures.

49. The list of topics identified in Box 1 below related to this roundtable have been raised in inputs received to date. These topics, and others, may be considered during this roundtable at TD1.1 and in more detail at later TD sessions.

### Box 1

Emission and implementation gaps; just transitions to net zero emissions across systems (e.g. energy, land, urban, industry, transport, agriculture, and other systems); opportunities, enabling conditions and good practices for near-term mitigation action; ways to remove barriers to effective implementation and ambition; conserving and enhancing removals by sinks; costs of mitigation pathways, and benefits from limiting warming; fairness and ambition in NDCs; phasing out/down of coal, oil and gas; response measures and methodologies to assess social and economic implications of emissions reduction pathways; carbon dioxide removal and negative emissions technologies; historical emissions trends; global peaking and pathways in different national circumstances; market and non-market mechanisms; demand-side measures and behavioral change; decoupling emissions from economic growth; sustainable, climate resilient, and low emissions development pathways; global economic context and enabling conditions; removal of fossil fuel subsidies; stranded assets; mitigation of methane and nitrous oxide; and international cooperation on bunker fuels at ICAO and IMO.

## B. Roundtable 2

50. This roundtable will take stock of implementation of the Paris Agreement to assess collective progress towards the global goal for adaptation of enhancing adaptive capacity, strengthening resilience

and reducing vulnerability to climate change, with a view to contributing to sustainable development and ensuring an adequate adaptation response in the context of the temperature goal referred to in Article 2.1(a) (Article 7.1) and in increasing the ability to adapt to the adverse impacts of climate change and foster climate resilience and low greenhouse gas emissions development, in a manner that does not threaten food production (Article 2.1 (b)).

51. In this context, the roundtable on adaptation will focus its discussions at TD1, in part, on the growing impacts of climate change and actions and support to adapt and build climate resilience. Discussions at this roundtable will take into account, as appropriate, efforts related to its work that avert, minimize, and address loss and damage associated with the adverse effects of climate change.

52. The list of topics identified in Box 2 have been raised in inputs received to date. These topics, and others, may be considered during this roundtable at TD1.1 and in more detail at later TD sessions.

**Box 2**

Contributions towards enhancing adaptive capacity, strengthening resilience and reducing vulnerability to climate change; recognition of efforts of developing countries; global state of adaptation action and support; gaps in adaptation planning and implementation; opportunities, enabling conditions and good practices for near-term adaptation action; relationship between global temperature pathways and global and local adaptation needs; challenges and good practices from NAPs and other adaptation efforts; adequacy and effectiveness of adaptation and support for adaptation; fairness and ambition in relation to adaptation action and support; limits to adaptation approaches, managing residual risks, and efforts to avert, minimize and address loss and damage; sustainable, climate resilient, and low emissions development pathways; how to understand collective progress at global scale (while recognizing the role of adaptation other spatial scales); and investments and finance for adaptation and L&D.

## C. Roundtable 3

53. This roundtable will take stock of implementation of the Paris Agreement to assess collective progress towards making finance flows consistent with a pathway towards low greenhouse gas emissions and climate-resilient development (Article 2.1 c), as well as how support for developing countries across finance, technology and capacity building (Articles 9, 10, and 11) has enabled collective progress towards the long-term temperature goal (Article 2.1 a) and increased the ability to adapt to the adverse impacts of climate change and foster climate resilience and low greenhouse gas emissions development, in a manner that does not threaten food production (Article 2.1 b).

54. In this context, the roundtable on means of implementation and support, including finance, technology, and capacity-building, might focus its discussions on existing areas of support, emerging needs, and further efforts to align and scale up support to meet Paris Agreement goals. Discussions at this

roundtable will take into account the progress towards the goal of developed countries of mobilizing jointly USD 100 billion annually by 2020 and continuing through 2025 to address the needs of developing countries, from a wide variety of sources, and in the context of meaningful mitigation actions and transparency on implementation (paragraph 53 of decision 1/CP.21 and Article 9).

55. The list of topics identified in Box 3 have been raised in inputs received to date. These topics, and others, may be considered during this roundtable at TD1.1 and in more detail at later TD sessions.

**Box 3**

State of efforts on finance, technology and capacity-building; needs related to system transformations and shifting development pathways; opportunities, enabling conditions and good practices for near-term scaling up of support; global economic context and enabling conditions; shifting incentives and aligning financial flows toward supporting Paris Agreement goals; the aligning of financial flows, including the need for support, towards just transitions; the significant role of public funds and the balance of funding for mitigation and adaptation; international cooperation on innovation; overall progress on (national) systems of innovation; institutional and systemic capacity; and the adequacy and effectiveness of support towards increasing the ability for climate resilient and low emissions development

## Appendix I

*Guiding questions by the SB Chairs for the Technical Assessment component of the first Global Stocktake*

*Revised questions, 18 February 2022*

The following guiding questions and their responses should be considered in the light of equity and the best available science, including the latest reports of the Intergovernmental Panel on Climate Change:

### Mitigation guiding questions

1. What is the collective progress in terms of the current implementation of, and ambition in, mitigation actions towards achieving the goals defined in Articles 2.1(a)<sup>21</sup> and 4.1<sup>22</sup> of the Paris Agreement?
2. Taking into account nationally determined contributions, long-term low GHG emission development strategies and relevant commitments and initiatives, what are the projected global GHG emissions, and the emission reductions still needed, in 2030 and 2050 in order to achieve the goals defined in Articles 2.1(a) and 4.1 of the Paris Agreement?
3. What efforts are being undertaken to plan, implement and accelerate mitigation action towards achieving the goals defined in Articles 2.1(a) and 4.1 of the Paris Agreement?
4. How adequate and effective are the current mitigation efforts and support provided for mitigation action towards achieving Articles 2.1(a) and 4.1 of the Paris Agreement?
5. In order achieve the goals defined in Articles 2.1(a) and 4.1 of the Paris Agreement:
  - a) What further action is required?
  - b) What are the barriers and challenges, and how can they be addressed at national, regional and international levels?
  - c) What are the opportunities, good practices, lessons learned and success stories?

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<sup>21</sup> Article 2.1(a) of the Paris Agreement: “Holding the increase in the global average temperature to well below 2°C above pre-industrial levels and pursuing efforts to limit the temperature increase to 1.5°C above pre-industrial levels, recognizing that this would significantly reduce the risks and impacts of climate change”.

<sup>22</sup> Article 4.1 of the Paris Agreement: “In order to achieve the long-term temperature goal set out in Article 2, Parties aim to reach global peaking of greenhouse gas emissions as soon as possible, recognizing that peaking will take longer for developing country Parties, and to undertake rapid reductions thereafter in accordance with best available science, so as to achieve a balance between anthropogenic emissions by sources and removals by sinks of greenhouse gases in the second half of this century, on the basis of equity, and in the context of sustainable development and efforts to eradicate poverty.”

## Adaptation guiding questions

6. What is the collective progress in terms of the current implementation of, and ambition in, adaptation actions towards achieving the goals defined in Articles 2.1(b)<sup>23</sup> and 7.1<sup>24</sup> of the Paris Agreement?
7. What efforts are being undertaken to plan, implement and accelerate adaptation action towards achieving the goals defined in Articles 2.1 (b) and 7.1 of the Paris Agreement and with a view to recognizing the adaptation efforts of developing country Parties, what efforts have been undertaken by these Parties towards achieving these goals?
8. How adequate and effective are the current adaptation efforts and the support provided for adaptation towards achieving the goals defined in Articles 2.1(b) and 7.1 of the Paris Agreement?<sup>25</sup>
9. How can the implementation of adaptation action towards achieving the goals defined in Articles 2.1(b) and 7.1 of the Paris Agreement be enhanced, taking into account the adaptation communication referred to in paragraph 10 of the Paris Agreement?<sup>26</sup>
10. In order to achieve the goals defined in Articles 2.1(b) and 7.1 of the Paris Agreement:
  - a) What further action is required?
  - b) What are the barriers and challenges, and how can they be overcome at national, regional and international levels?
  - c) What are the opportunities, good practices, lessons learned and success stories?

## Finance flows and means of implementation guiding questions

11. What is the collective progress in terms of the current implementation of, and ambition in, making finance flows consistent with a pathway towards low greenhouse gas emissions and climate-resilient development towards to achieving the goal defined in Article 2.1 (c) of the Paris Agreement?<sup>27</sup>

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<sup>23</sup> Article 2.1(b) of the Paris Agreement: “Increasing the ability to adapt to the adverse impacts of climate change and foster climate resilience and low greenhouse gas emissions development, in a manner that does not threaten food production”.

<sup>24</sup> Article 7.1 of the Paris Agreement: “Parties hereby establish the global goal on adaptation of enhancing adaptive capacity, strengthening resilience and reducing vulnerability to climate change, with a view to contributing to sustainable development and ensuring an adequate adaptation response in the context of the temperature goal referred to in Article 2”.

<sup>25</sup> Article 7.14 (c) of the Paris Agreement.

<sup>26</sup> Article 7.14 (b) of the Paris Agreement; Decision 11/CMA.1, paragraph 9.

<sup>27</sup> Article 2.1(c) of the Paris Agreement: “Making finance flows consistent with a pathway towards low greenhouse gas emissions and climate-resilient development”.

12. What is the collective progress in terms of the implementation of, and ambition in, the provision and mobilization of scaled-up financial resources from a wide variety of sources, instruments and channels towards achieving the goals defined in Article 9 of the Paris Agreement, noting the significant role of public funds, and aiming to achieve a balance between finance for adaptation and mitigation?<sup>28</sup>
13. What is the collective progress in terms of the state of current implementation of, and ambition in, technology development and transfer towards achieving the vision defined in Article 10.1 of the Paris Agreement?<sup>29</sup> What is the state of cooperative action on technology development and transfer?
14. What is the collective progress in terms of the state of current implementation of, and ambition in, enhancing the capacity of developing country Parties to implement the Paris Agreement?<sup>30</sup> How effective has been the implementation of capacity-building efforts?
15. In order to achieve the goal defined in Article 2.1(c) of the Paris Agreement as well as scale up the provision and mobilization of means of implementation (including finance, technology development and transfer and capacity-building), including in the short term, both from public and private sources, at the national and international levels to achieve the Paris Agreement goals:
  - a) What further action is required?
  - b) What are the barriers and challenges and how can they be overcome at national, regional and international levels?
  - c) What are the opportunities, good practices, lessons learned and success stories?

**Guiding questions related to efforts referred to in Decision 19/CMA.1, paragraph 6(b), that may be taken into account as appropriate, that:**

**Address the social and economic consequences and impacts of response measures:**

16. What is the collective progress in terms of the current implementation of, and ambition in, efforts made that address the social and economic consequences and impacts of response measures while implementing mitigation policies and actions towards the achievement of the Paris Agreement goals?<sup>31</sup>

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<sup>28</sup> Article 9.3 and 9.4 of the Paris Agreement; Decision 19/CMA.1, paragraph 36(d).

<sup>29</sup> Article 10.1 of the Paris Agreement: “Parties share a long-term vision on the importance of fully realizing technology development and transfer in order to improve resilience to climate change and to reduce greenhouse gas emissions.”

<sup>30</sup> Article 11.3 of the Paris Agreement.

<sup>31</sup> Article 4.15 of the Paris Agreement and Decision 19/CMA.1, paragraph 6(b)(i).

## **Avert, minimize and address loss and damage associated with the adverse effects of climate change:**

17. What is the collective progress in terms of the current implementation of, and ambition in, efforts made to enhance understanding, action and support towards averting, minimizing and addressing loss and damage associated with the adverse effects of climate change?<sup>32</sup> What further action is required to strengthen these efforts?<sup>33</sup>

## **Cross-cutting guiding questions**

18. How are fairness considerations, including equity, being reflected in Parties' NDCs?<sup>34</sup>
19. How is climate action respecting, promoting and considering Parties' respective obligations on human rights, the right to health, the rights of indigenous peoples, local communities, migrants, children, persons with disabilities and people in vulnerable situations and the right to development, as well as gender equality, empowerment of women and intergenerational equity?<sup>35</sup>
20. How are Parties recognizing the importance of ensuring the integrity of all ecosystems, including oceans, and the protection of biodiversity,<sup>36</sup> in order to achieve the purpose and long-term goals of the Paris Agreement?
21. In what way are non-Party stakeholders (including subnational governments, indigenous peoples and local communities, youth, non-governmental organizations, international organizations, the private sector, financial institutions and multi-stakeholder initiatives) contributing to the progress made to achieve the purpose and long-term goals of the Paris Agreement?
22. In order to achieve the purpose and long-term goals of the Paris Agreement:
  - a) What integrated and holistic approaches are available?
  - b) How can science and innovation be accelerated, encouraged and enabled?
  - c) How can international cooperation for climate action be enhanced?

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<sup>32</sup> Article 8 of the Paris Agreement and Decision 19/CMA.1, paragraph 6(b)(ii).

<sup>33</sup> Decision 19/CMA.1, paragraph 36(e).

<sup>34</sup> Decision 19/CMA.1, paragraph 36(h).

<sup>35</sup> Preamble of the Paris Agreement.

<sup>36</sup> Preamble of the Paris Agreement.



## Appendix II

### The Global Stocktake Information Portal

1. All sources of input to the technical assessment of the GST are available on-line. The submissions can be found on the GST Information Portal at <https://unfccc.int/topics/global-stocktake/information-portal>.
2. Specific submissions to the GST are also available in the submission portal at <https://www4.unfccc.int/sites/submissionsstaging/Pages/Home.aspx> (click on Type (upper left hand menu) and select “Global Stocktake”).

The screenshot shows the 'SUBMISSION PORTAL' interface. At the top, there is a navigation bar with a logo and a 'Login' link. Below this is a search bar with a 'SEARCH:' label and a magnifying glass icon. Under the search bar, there are 'SELECTED TAGS' including 'Open', '2022', '2021', and 'GST', with a 'CLEAR TAGS' button. A section titled 'CALLS FOR SUBMISSIONS, ELECTIONS AND STATEMENTS FOR CONSIDERATION AT UPCOMING SESSIONS (1)' is visible. Below this, there is a detailed call for submissions for the first global stocktake, including the issue, title, mandate, deadline (28/02/2022), and session name (SB 96). A 'START SUBMISSION' button is present. At the bottom, there is a table listing submissions from various parties, including Australia, European Union, Norway, Indonesia, and Switzerland on behalf of the Environmental Integrity Group (EIG).

Parties	Submission date	Thematic Areas
Australia	01/04/2022	
European Union	28/03/2022	
Norway	24/03/2022	
Indonesia	21/03/2022	
Switzerland on behalf of the Environmental Integrity Group (EIG)	16/03/2022	Adaptation, Mitigation, Science

3. To find the GST documents, type “Global Stocktake” in the search field and go to the second call for submissions as shown below. There, you can access the files by Parties, UN agencies, IGOs and NGOs.

This block shows a detailed view of the call for submissions. It includes the following information:

- Issue:** The first global stocktake
- Title:** Call for inputs from Parties and observer States, UN Agencies and other international organizations and non-Party Stakeholders and observer Organizations, to the first global stocktake
- Mandate:** Decision 19/CMA.1, paragraph 19: requested the Chairs of the Subsidiary Body for Scientific and Technological Advice and the Subsidiary Body for Implementation to issue a call for the inputs referred to in paragraphs 36 and 37 of the same decision, taking into account that such inputs should be submitted at least three months before their consideration in the technical assessment;
- Deadline:** 01/03/2022
- Session Name:** SB 56
- START SUBMISSION** button

4. The synthesis reports (SYR) prepared by the secretariat under the guidance of the Co-facilitators of the Technical Dialogue are available on the GST Information Portal. Direct links to these reports are as follows:
  - a) SYR on the state of greenhouse gas emissions by sources and removals by sinks and mitigation efforts undertaken by Parties, including the information referred to in Article 13, paragraph 7(a), and Article 4, paragraphs 7, 15 and 19, of the Paris Agreement at <<https://unfccc.int/documents/461466>>;
  - b) SYR on overall effect of Parties' nationally determined contributions and overall progress made by Parties towards the implementation of their nationally determined contributions, including the information referred to in Article 13, paragraph 7(b), of the Paris Agreement at <<https://unfccc.int/documents/461517>>;
  - c) The SYR on the state of adaptation efforts, support, experience and priorities, including the information referred to in Article 7, paragraphs 2, 10, 11 and 14, of the Paris Agreement, and the reports referred to in Article 13, paragraph 8, of the Paris Agreement at <<https://unfccc.int/documents/470435>>;
  - d) SYR on the finance flows, including the information referred to in Article 2, paragraph 1(c), and means of implementation and support and mobilization and provision of support, including the information referred to in Article 9, paragraphs 4 and 6, Article 10, paragraph 6, Article 11, paragraph 3, and Article 13, in particular paragraphs 9 and 10, of the Paris Agreement. This should include information from the latest biennial assessment and overview of climate finance flows of the Standing Committee on Finance at <<https://unfccc.int/documents/461992>>.
5. The reports by the Constituted Bodies are also available in the GST Information Portal.
6. The secretariat also published a synthesis report on the initiatives and actions by individual non-Party stakeholders registered under the Global Climate Action Portal at: <https://unfccc.int/documents/460995>
7. As mandated by decision 19/CMA.1 paragraph 36, the latest reports of the Intergovernmental Panel on Climate Change are one of the sources of input for the GST. These can be found through the following links:
  - Working Group I contribution to the Sixth Assessment Report:  
<https://www.ipcc.ch/report/sixth-assessment-report-working-group-i/>
  - Working Group II contribution to the Sixth Assessment Report:  
<https://www.ipcc.ch/report/sixth-assessment-report-working-group-ii/>
  - Working Group III contribution to the Sixth Assessment Report:  
<https://www.ipcc.ch/report/sixth-assessment-report-working-group-3/>

## Appendix III

### *Norms for discussion at the roundtables*

- Participants of roundtables are charged with performing an assessment of collective progress and identifying opportunities for enhanced action and support.
- The dialogue should advance knowledge that can inform Parties and NPS in enhancing their actions and support
- Discussions should be technical, focused on data and information, and based on the best available science.
- Participants are encouraged to engage in a conversation and dialogue with one another, rather than provide prepared statements.
- Throughout the technical dialogue, all knowledge and experiences should be respected as contributions to the discussion, in order to promote cooperation and build trust.

*This list is to be discussed at the start of each roundtable discussion to see if any norms need to be amended or added*