

## Annex 1: Retrieval of Literature on the Global Stocktake

Since the aim of the article is to analyse how the first GST could and did foster transitions/transformations of sectoral systems to achieve the mitigation objectives of the Paris Agreement, the authors initially devised a search strategy with three criteria:

- First, to capture only articles analysing the Paris Agreement's GST, the titles, abstracts or key words would have to include both "Paris Agreement" and "Global Stocktake"; and
- second, the titles, abstracts or key words would have to include both "mitigation"; and
- third, the titles, abstracts or key words would have to include either "transition" or "transformation".

For the search in Scopus, we initially tested a strategy including all three criteria. This resulted in the following search query: TITLE-ABS-KEY ( {Paris Agreement} AND {Global Stocktake} AND mitigation AND ( transformation OR transition ) )

However, on 4 March 2025, this query yielded only the very limited number of 10 matches. The authors therefore removed the criteria relating to mitigation and transition/transformation, leaving as query: TITLE-ABS-KEY ( {Paris Agreement} AND {Global Stocktake} ). This query yielded 120 matches.

To be sure to capture all relevant articles, the authors used this entire corpus as starting point and subjected it to manual review of the titles and abstracts. This review revealed that many of these articles have only a weak relation to the GST. Many of them address information that may support the GST, such as the quality of national communications under the UNFCCC or space-based observations of climate data, but do not address the GST itself. A number of other articles directly address the GST but analyse the dimensions of adaptation and loss and damage which are not within the scope of this article.

To complement the search with SCOPUS, we ran an additional search in the Elicit search engine. Different from databases such as Scopus, Elicit does not generate a total list of matches. Instead, the engine offers users to ask a research question and uses language models to extract data from research papers and first identifies the eight publications that semantically best match the query. The user can successively generate larger lists of matches, either by requesting more matches ("load more") or by searching citation trails, i.e. papers that cite and are cited by selected papers.

To develop a search strategy for Elicit, we entered two queries with successively more detail:

- What is the Global Stocktake under the Paris Agreement?
- How can the Global Stocktake under the Paris Agreement promote system transformation?

The first, more generic query, yielded a number of matches that were relevant but even the first eight matches also included a number of articles relating to the global stock market or other topics not related to this article. The second query only yielded matches that are related to climate policy but many focused on other aspects such as carbon markets. On 4

March 2025, the authors requested more matches until saturation appeared to have been reached where requesting additional matches did no longer yield additional papers including “Paris Agreement” and “Global Stocktake” in either the title and the abstract. In total, we thereby identified 144 documents (seventeen times “load more”, each of which yields an additional eight matches).

The authors then manually reviewed which of these matches had not yet already been found by Scopus, and subsequently manually reviewed the titles and abstracts to determine the relevance of the articles to the research question of this article.

The following gives the full remaining list of articles which were included in the survey of suggestions made in existing literature for how the GST outcome may foster transitions/transformations and ex-post assessments of the first GST.

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## Annex 2: Retrieval and Analysis of Submissions to the Global Stocktake

In order to identify which proposals on how the GST outcome could foster transitions/transformations of sectoral systems were made by Parties and Non-Party Stakeholders during the GST process itself, the authors analysed the about 400 submissions that were made to the GST in response to the various calls for inputs (UNFCCC, 2024). This dataset is available both at the UNFCCC submission portal, search “First Global Stocktake”, all tags cleared, and at the UNFCCC Global Stocktake Information Portal.

The submission portal was the primary source of submission documents in this analysis as it is structured according to calls for input and is easier to navigate. However, documents submitted under the call for input for the third session of the Technical Dialogue after 15 March 2023 had to be retrieved from the GST Information Portal because submissions after 15 March 2023 were not listed in the submission portal.

### Overview on calls and numbers of Submissions to the First GST considered in the analysis

Title	Deadline	No. of Submissions by					Total
		Party	UN System	IGOs	NGOs	NAE*	
Views on the approach to the consideration of outputs component of the first global stocktake	15.02.23	20	6	1	17	n.a.	44
Technical Dialogue: 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	01.06.23	33	16	23	175	33	280
Views from Parties and non-Party stakeholders on the elements for the consideration of outputs component taking into account the informal note by the co-chairs available at <a href="https://unfccc.int/documents/630104">https://unfccc.int/documents/630104</a>	15.09.23	29	5	2	33	5	74
Total		82	27	26	225	38	398

\*NAE: Non-Admitted Entities

Source: Own compilation based on UNFCCC Submission Portal, cut off date 31.10.2023 <https://www4.unfccc.int/sites/submissionsstaging/Pages/Home.aspx> and Global Stocktake Information Portal, [https://unfccc.int/topics/global-stocktake/information-portal?field\\_document\\_topic\\_target\\_id=All&field\\_document\\_type\\_target\\_id=4188](https://unfccc.int/topics/global-stocktake/information-portal?field_document_topic_target_id=All&field_document_type_target_id=4188).

In a first step, the authors manually reviewed all of the about 400 documents submitted to the UNFCCC under these specific calls for inputs for references to “sector”, “system”, “transformation” and “transition”.

An additional search of the online database “Global Stocktake Explorer” (Climate Policy Radar, 2024), which was established later, in June 2023 (IISD Website, 2023), served to cross-check the results of the manual review,

Use of the Global Stocktake Explorer was limited to a cross-check of submissions because it is a pilot release and has some limitations (as regards research for this paper). The GST Explorer contains a wide range of over 1,800 documents with four filter options i) party/non-party stakeholder, ii) author, iii) relevance and iv) submission types. There is an option to enter search terms. However, the number of results when selecting a specific submission type makes evident that not only documents are categorized into submission types but the submission type itself appears also to be used as a search term. As one example, the category “statement” shows eight hits, but these all relate to one single document.

Moreover, most of the document types are background documents that contain information that is relevant for taking stock of the current status of climate policy, such as the regular national reporting by Parties to the Paris Agreement (e.g. adaptation communications, biennial reports, biennial update reports, national communications, national inventory reports), but do not contain suggestions for how the GST could achieve its intended outcome, which is the subject of this paper.

Submission Type	No of Results selecting the respective submission type and all other tags cleared	Containing proposals on the GST outcome
Adaptation Communication	10.000+	No
Annual Compilation and Accounting Report	604	No
Biennial Report	10.000+	No
Biennial Update Report	10.000+	No
Facilitative Sharing of Views Report	1754	No
Fast-Start Finance Report	3206	No
<b>Global Stocktake Synthesis Report</b>	1039	Yes
IPCC Report	10.000+	No
Intersessional Document	282	No
Long-Term Low Emission Development Report	10.000+	No
National Adaptation Plan	9907	No
National Communication	10.000+	No
National Inventory Report	10.000+	No
Nationally Determined Contribution	10.000+	No
Non-Official Session Documents	323	No
Pre-Session Document	4697	No
Progress Report	433	No
Publication	9221	No
Report	2928	No

Statement	8	No
<b>Submission to the GST</b>	10.000+	Yes
Summary Report	720	No
Synthesis Report	10.000+	No
Technical Analysis Summary Report	10.000+	No
Technical Analysis Technical Report	1520	No

Given this lack of clarity of the results, we decided to use the Explorer only as complement to cross-check the results of our manual review. Further experimentation revealed that a combination of the submission type "submission to the GST" with specific search terms reduced the number of results considerably.

Select who submitted	Select submission type "Submission to GST" only	For information: No. Of results selecting all submission types
<b>party / non-party</b>		
search term "sector"	5144	10000+
search term "system"	3809	10000+
<b>search term "sector transformation" or "sectoral transformation"</b>	<b>289</b>	2425
search term "system transformation" or "systemic transformation"	488	2349
search term "transformation"	1349	9757
search term "transition"	5859	10000+
<b>party only</b>		
search term "sector"	1023	10000+
search term "system"	617	10000+
<b>search term "sector transformation" or "sectoral transformation"</b>	<b>46</b>	1642
search term "system transformation" or "systemic transformation"	95	893
search term "transformation"	208	5379
search term "transition"	886	10000+

A sample review of matches, checking the subheading and reading the full paragraph where the search term was mentioned in the document, revealed that search terms "transition" and "transformation" were too general, and the search term "system transformation" provided very mixed results, with mentions including not only socio-technical transformations but also including general systemic change, changes in the climate system, climate-induced changes to food and other systems, etc. Hence, as the search term system transformation appeared to generate more non-relevant results, the authors decided to

review the 289 results for the combination of submission type “submission to the Global Stocktake” and search term “sector transformation” to double check the results of the previous manual review of all submissions. Of those 289 submissions, 46 were from Parties and 243 from non-Party stakeholders.

### Annex 3: Overview of phase-outs and phase-ins in GST Proposals, the Technical Dialogue synthesis report, and the GST decision

The overview tables below summarise and compare phase-out and phase-in elements as contained in proposals to the GST, the SYR-TD, and the GST decision. The coverage of sectoral systems in the tables corresponds to the coverage in the SYR-TD, which discusses energy systems, industry, transport, buildings, cities, and agriculture, forestry and other land use. The column on proposals is meant to be illustrative, it does not claim to fully represent the about 400 submissions that were contributed to the GST.

Overview Table 1: Overview of phase-outs in GST Proposals, the Technical Dialogue synthesis report, and the GST decision

Proposals	Technical Dialogue Report	GST Decision
<b>Energy Phase-Outs</b>		
<p>Phase-out all fossil fuels by 2050 (AILAC, 2023a; AOSIS, 2023; Australian Government, 2023; Canada, 2023; EIG, 2023; European Union, 2023; Government of Japan, 2023; Government of New Zealand, 2023; LDC, 2023; UK Government, 2023; USA, 2023)</p> <p>Phase-out of “inefficient” fossil fuel subsidies by 2025 (AILAC, 2023b; EIG, 2023; European Union, 2023; Government of Norway, 2023; UK Government, 2023).</p>	<p>Highlights need to phase out all unabated fossil fuels</p> <p>Notes that AR6 envisages reduction of unabated coal power by 67–82 per cent by 2030 from the 2019 level and hardly any use of coal for electricity generation by 2050 (UNFCCC, 2023b, pp. 118–120)</p> <p>Qualitative discussion of just transitions</p> <p>Notes that trillions of dollars to be unlocked and redeployed to meet global investment needs – while in 2019-20, USD 892 billion invested in fossil fuels annually on average, and an additional USD 450 billion provided as fossil fuel subsidies (UNFCCC, 2023b, p. 121).</p>	<p>“calls on Parties to contribute to” a list of goals, “in a nationally determined manner” (UNFCCC, 2023a, p. 28) – which is relatively weak legal language</p> <p>“Transition away from fossil fuels in energy system” leaves unclear whether energy system refers only to supply or also demand (Harris, 2024)</p> <p>Calls for accelerating carbon capture and utilisation and storage technologies (UNFCCC, 2023a, p. 28(e)), which would allow for continued use of fossil fuels, and recognises that “transitional fuels” may play a role (UNFCCC, 2023a, p. 29), which is commonly understood to refer to fossil gas (Harris, 2024; Lo, 2023)</p> <p>Phase-out of “inefficient” fossil fuel subsidies - which is not defined - “that do not address energy poverty or just transitions, as soon as possible” (UNFCCC, 2023a, p. 28(h))</p>
<b>Buildings Phase-Outs</b>		
Phase out new fossil fuel boilers for space and water heating by	Not covered explicitly, implicit coverage of fossil heating by	Not covered explicitly, implicit coverage of fossil heating by

<p>2025 (Moosmann et al., 2023); phase-out fossil heating and cooking (AILAC, 2022)</p> <p>Implicit coverage of fossil heating by discussion on overall fossil fuel phase-out, electrification of heating</p>	<p>discussion on overall fossil fuel phase-out</p>	<p>decision on transitioning away from fossil fuels – if interpreted to also apply to demand side</p>
<p><b>Transport Phase-Outs</b></p>		
<p>Phase out internal combustion engines (ICEs) including through regulations and taxes (C2ES, 2023; UK Government, 2022), radically transform and even devalue infrastructure such as those of the private car (AILAC, 2023b)</p>	<p>Qualitative discussion of system transition, including demand reduction, modal shift and ICE phase-out</p>	<p>Implicit coverage of fossil transport fuels by decision on transitioning away from fossil fuels – if interpreted to also apply to demand side</p>
<p><b>Industry Phase-Outs</b></p>		
<p>Accelerate fuel switch in industrial processes (Srouji et al., 2023)</p> <p>Implicit coverage of fossil fuel applications in industry by discussion on overall fossil fuel phase-out</p>	<p>Not covered explicitly, implicit coverage of fossil fuel applications by discussion on overall fossil fuel phase-out</p>	<p>Arguably not covered, decision to transition away from fossil fuels refers only to energy system</p>
<p><b>City Phase-Outs</b></p>		
<p>Usually covered under headings of buildings and transport</p>	<p>Qualitative discussion of system transition, e.g. of smart urban planning to reduce and manage waste and to make cities more compact, walkable and efficient</p>	<p>Not covered</p>
<p><b>Land use and food systems</b></p>		
<p>Eliminate and reverse deforestation and degradation, reduce agricultural emissions by a quarter and cutting loss of food production and food waste in half by 2030, including by moratoria on products associated with deforestation (C2ES, 2023), reorient support away from price- and trade-distorting and environmentally harmful agriculture practices (Government of New Zealand, 2023).</p>	<p>Halt and reverse deforestation by 2030 (UNFCCC, 2023b, p. 21)</p>	<p>Call to enhance “efforts towards halting and reversing deforestation and forest degradation by 2030” (UNFCCC, 2023a, p. 33)</p>

**Overview Table 2: Overview of phase-ins in GST Proposals, the Technical Dialogue synthesis report, and the GST decision**

Proposals	Technical Dialogue Reports	GST Decision
<b>Energy Phase-Ins</b>		
<p>Triple renewable capacity by 2030 (IEA, 2024)</p> <p>Increase share of renewables in global electricity generation from 30 percent in 2022 to 55–90 percent by 2030 and 98–100 percent by 2050 (AILAC, 2023a; Australian Government, 2023; Government of New Zealand, 2023; Government of Norway, 2023; LDC, 2023; USA, 2023)</p> <p>Double global rate of energy intensity improvement by 2030 (C2ES, 2023; IEA, 2024; Srouji et al., 2023)</p>	<p>Scaling up renewable energy “Indispensable” (UNFCCC, 2023b, p. 19)</p> <p>Notes that AR6 scenarios envisage that low- and zero-carbon sources account for between 97–99 per cent of global electricity by 2050 (UNFCCC, 2023b, pp. 118–120)</p>	<p>Triple renewables and double rate of energy intensity improvement globally by 2030 (UNFCCC, 2023a, p. 28(a)) - but without base year</p> <p>“Accelerating efforts globally towards net zero emission energy systems, utilizing zero- and low-carbon fuels well before or by around mid-century” (UNFCCC, 2023a, p. 28(c))</p>
<b>Buildings phase-ins</b>		
<p>All new and existing assets to be net-zero carbon across lifecycle by 2050, including through electrification of energy end-use, low-carbon construction materials (C2ES, 2023)</p> <p>Increase the rate of building retrofits to 3.5% by 2040 (AILAC, 2023b; C2ES, 2023; EIG, 2023)</p>	<p>Qualitative discussion of system transition, e.g. mention of low-carbon construction materials, reduction of energy demand, mitigation options in design, construction, use and retrofits</p>	<p>Not covered</p>
<b>Transport phase-ins</b>		
<p>Double share of fossil fuel-free transport by 2030 by shifting to more sustainable modes and increasing share of electric vehicle sales to 75–95 percent of global car sales and 30 percent of zero-carbon truck sales by 2030, expanding viable public transport (C2ES, 2023; Srouji et al., 2023)</p>	<p>Qualitative discussion of system transition, e.g. electric vehicles</p>	<p>Reduce road transport emissions “on a range of pathways, including through development of infrastructure and rapid deployment of zero- and low-emission vehicles” (UNFCCC, 2023a, p. 28(g))</p>
<b>Industry phase-ins</b>		
<p>Accelerate fuel switch in industrial processes and</p>	<p>Qualitative discussion of system transition, e.g.</p>	<p>Not covered</p>

strengthen circular economy (EIG, 2023; European Union, 2023), increase share of electricity in final energy demand to 35% by 2030, increase circularity (C2ES, 2023)	demand management, energy efficiency, electrification, greater circularity and attention to emissions across supply chains	
<b>City phase-ins</b>		
Introduce circular material flows and manage waste in ways to reduce methane emissions (Moosmann et al., 2023)	Qualitative discussion of system transition, e.g. of smart urban planning to reduce and manage waste and to make cities more compact, walkable and efficient	Not covered
<b>Land use and food systems</b>		
Scale up sustainable agricultural practices, shifting to more sustainable diets, scale up sustainable ecosystem management (C2ES, 2023; Srouji et al., 2023)	Qualitative discussion of system transition, e.g. intensifying sustainable agriculture	Notes the need for enhanced support and investment, including for sustainable management of forests (UNFCCC, 2023a, p. 34)

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