

Paris Agreement and “Rulebook” - gaps and next steps post Katowice



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Commitments under the Paris Agreement	Further tasks to “operationalize” the Paris Agreement	Outcomes of the Katowice conference as part of the “Rulebook”	Next major steps agreed in Katowice
Mitigation			
Article 4: Parties shall submit increasingly ambitious Nationally Determined Contributions (NDCs) every 5 years	Develop guidance on features of NDCs (COP decision 1/CP.21 accompanying the Paris Agreement para.26) at CMA1	While noting that features are outlined in the PA – parties did not decide on further guidance (4/CMA.1, para.19)	Further guidance will be considered again at CMA7 in 2024 (4/CMA.1, para.20) ¹
	Guidance on information to facilitate clarity, transparency and understanding (ICTU) of NDCs (1/CP.21 para.28) at CMA1	Guidance on ICTU agreed, must be applied to 2 nd and following NDCs (4/CMA.1, para.7)	Review and if necessary update of guidance to be initiated in 2027, with a view to adopting a decision in 2028 (4/CMA.1, para.18)
	Modalities and procedures for the public registry that will house NDCs (1/CP.21 para.29) at CMA1	Modalities and procedures based on interim registry’s functioning agreed (5/CMA.1, para.1)	Final version will be presented by secretariat and formally confirmed at CMA2 in 2019 (5/CMA.1, para.2)
	Consider common time frames for NDCs (PA Art.4.10) at CMA1	No decision on what time frames will be – e.g. whether NDCs cover 5 or 10	Parties decided that common timeframes shall apply from 2031 and

¹ At present the CMA1 decisions 3 to 12, as contained in document FCCC/PA/CMA/2018/3/Add.1, can be easily accessed via: https://unfccc.int/sites/default/files/resource/cma2018_3_add1_advance.pdf

		years	SBI was tasked to further consider the issue (6/CMA.1, paras 2 and 3)
	Elaborate guidance for accounting of parties' NDCs (PA Art.4.13 and 1/CP.21, para.31) at CMA1	Guidance agreed, must be applied to 2 nd and following NDCs (4/CMA.1, paras 13 and 14)	Review and if necessary update of guidance to be initiated in 2027, with a view to adopting a decision in 2028 (4/CMA.1, para. 18)
	Recommend the modalities, work programme and functions of the Forum on the Impacts of the Implementation of Response Measures (1/CP.21 para.34) at CMA1	Modalities, 6-year work programme, and functions of the Forum were agreed; the Katowice Committee of Experts to support the forum established (7/CMA.1, paras 2 and 5)	Parties to nominate members, 1 st meeting in June 2019, forum to develop work plan, and review of functions etc. by SBI to make recommendations to CMA in 2023 (7/CMA.1, paras 7 – 10)
	Adopt guidance concerning adjustment of NDCs by parties with a view to enhancing ambition (PA Art. 4.11)	No decision	No further action specified
Article 6 provides 3 additional voluntary tools for the implementation of NDCs: Internationally Transferred Mitigation Outcomes (ITMO)	Develop guidance on robust accounting for internationally transferred mitigation outcomes under voluntary cooperative approaches (PA Art.6.2, 1/CP.21 para.36) at CMA1	Despite progress in some areas – no agreement was reached in Katowice (8/CMA.1, para.2)	Further work during SBs (June 2019) with a view to reaching a decision at CMA2 in December 2019 (8/CMA.1, para.3)
A market mechanism to mitigate GHG emissions and support sustainable development	Rules, modalities and procedures for the mechanism on mitigation and sustainable development (Art.6.7, para.38) at CMA1	Despite progress in some areas – no agreement was reached in Katowice	Further work during SBs with a view to reaching a decision at CMA2 in December 2019 (8/CMA.1, para.3)
	Designation of a body to supervise the mechanism on mitigation and sustainable development (PA Art.6.4)	Discussed as part of the rules, modalities and procedures – no agreement	Further work during SBs with a view to reaching a decision at CMA2 in December 2019 (8/CMA.1, para.3)
A framework for non-market approaches	Work programme under the framework for non-market approaches to sustainable development (paras.39–40) at CMA1	Despite progress in some areas – no agreement was reached in Katowice	Further work during SBs with a view to reaching a decision at CMA2 in December 2019 (8/CMA.1, para.3)

Adaptation			
Article 7: Parties seek to enhance adaptive capacity, strengthen resilience and reduce vulnerability (7.1) and, as appropriate, engage in adaptation planning processes, the implementation of actions (7.9)	Develop modalities to recognize adaptation efforts of developing country Parties (Art.7.3, 1/CP.21 para.41) at CMA1	Parties agreed to raise the profile of adaptation action via reports and events – but there is no concrete “recognition” (Art.7.3) beyond that (11/CMA.1, paras 9-12)	No further action specified
and submit and update an adaptation communication on needs, plans and actions (7.10)	Develop further guidance in relation to the adaptation communication	Flexible, voluntary guidance was adopted; information can be part of the NDC or another communication (9/CMA.1 & Annex)	Adaptation Committee, with IPCC, to draft supplementary guidance by June 2022 for consideration at SB57 in 2022 (9/CMA.1, para.15); review of guidance based on submissions and synthesis report at CMA8 in 2025 (9/CMA.1, paras 16-18)
The adaptation communication shall be recorded in a registry (7.11)	Modalities and procedures for the operation and use of the public registry to house adaptation communications at CMA1	Modalities agreed: There will be one registry (as above) with 2 parts for NDCs and adaptation communications (10/CMA.1, paras 2 and 3)	Registry prototype to be developed by June 2019 and subject to confirmation at CMA2 (10/CMA.1, paras 4 and 5)
	Review the work of adaptation-related institutional arrangements and enhancing the coherence of their work (1/CP.21 para.42.a) at CMA1	Decision was taken, e.g. Adaptation Committee and LDC Expert Group to serve PA (11/CMA.1, para.1)	Adaptation Committee to continue making recommendations on enhancing collaboration in its annual reports (11/CMA.1, para.6)
	Consider and make recommendations on methodologies for assessing adaptation needs (para.42.b)	Agreement reached on broad outline of further activities to develop, record and apply methodologies (11/CMA.1, paras 15-20)	Adaptation Committee in collaboration with others to develop inventory of methodologies for assessing adaptation needs by June 2020 (11/CMA.1 para.15); Parties & observers to submit views and Adaptation Committee with IPCC to prepare technical paper for consideration by SBSTA57 in 2022

			(11/CMA.1, paras 16, 17)
	Methodologies to facilitate the mobilization of support for adaptation and reviewing the adequacy and effectiveness of adaptation and support for adaptation (para.45) at CMA1	Agreement reached on inviting and requesting parties, institutions and other stakeholders to take relevant action (11/CMA.1, paras 21-30 and 34-36)	Parties, UN entities and relevant organizations invited to submit information on gaps, challenges and opportunities re methodologies to assess adequacy and effectiveness of adaptation and support by April 2020 (11/CMA.1, para.36)
Finance			
Article 9: developed country parties to provide financial resources for assisting developing country parties in mitigation and adaptation (Art.9.1)	Developed countries intend to mobilize USD 100 billion per year by 2020 through 2025 and set a new collective quantified goal from a floor of USD 100 billion (1/CP.21 para.53) prior to 2025	Decision to initiate discussions on new goal to commence at CMA3 in 2020 with USD 100 billion as floor (14/CMA.1, para.1)	Deliberations on new collective quantified goal to start at CMA3 in 2020 (14/CMA.1, para.1)
Developed country parties to communicate biennially indicative information (ex-ante) on mobilization of climate finance (Art.9.5) at CMA1	Identify the indicative quantitative and qualitative information on projected levels of public financial resources to be provided to developing country Parties (para.55)	Types of information agreed, dedicated online portal will record biennial communications (12/CMA.1, paras 4 and 6 & Annex)	Secretariat to prepare compilation and synthesis report from 2021 to feed into global stocktake and to organize biennial in-session workshops; biennial high level ministerial dialogue on climate finance from 2021 (12/CMA.1, paras 7, 8, 10); guidance on types of information to be reviewed and if necessary updated at CMA6 in 2023 (12/CMA.1, para.13)
Developed country parties to report biennially on support mobilized through public interventions (Art.9.7) at CMA1	Modalities, procedures and guidelines for the biannual provision of transparent and consistent information (Art.9.7, para.57)	Agreement on potential information (amount, financial instrument, definition of public and private finance etc.) was incorporated into the decision on modalities and guidelines for the transparency framework under	See transparency on action and support

		Art.13 (Annex to 18/CMA.1, paras 123 – 125) ²	
Matters relating to the Adaptation Fund	Considering the issue of the Adaptation Fund (which was established under the Kyoto Protocol) serving the PA (para.60)	Adaptation Fund will also serve PA from 1 January 2019 (13/CMA.1, para.1) and only PA, no longer the Kyoto Protocol, when share of proceeds from trading under Art.6.4 becomes available (1/CMP.14 para.2) ³	SBI50 to consider eligibility for AF Board membership and make recommendations to CMP15 (1/CMP.14, para.5); AF Board to consider various issues (e.g. rules of procedure, receiving proceeds) to prepare move from KP to PA, and make recommendations to CMP15 to be forwarded to CMA2 (1/CMP.14, para.6)
	Provide guidance to the entities entrusted with the operation of the Financial Mechanism of the Convention on the policies, programme priorities and eligibility criteria related to the PA (para.61)	No guidance yet but the Paris decision does not specify a timeframe	No further actions specified
Technology development and transfer			
Art.10 establishes a technology framework to provide guidance to the existing Technology Mechanism on enhanced technology development and transfer for improving climate resilience and reducing emissions	Elaborate the technology framework of the Agreement (1/CP.21 para.67)	Agreed principles and key themes of the framework to be implemented by Technology Executive Committee (TEC) and Climate Technology Centre and Network (CTCN) (the Mechanism's 2 bodies) under guidance of the CMA (15/CMA.1, paras 1 and 2)	TEC and CTCN to incorporate technology framework guidance in their workplan and to report on progress, challenges etc. in implementing framework (15/CMA.1, paras 3 and 5)
	Elaborate the scope and modalities for	Adopted scope of and modalities for	SBI51 to initiate consideration of

² At present the CMA1 decisions 13 to 20, as contained in document FCCC/PA/CMA/2018/3/Add.2, can be easily accessed via:

https://unfccc.int/sites/default/files/resource/cma2018_3_add2%20final_advance.pdf

³ Formally, the decision, contained in document FCCC/KP/CMP/2018/8/Add.1, had to be taken by the Meeting of Parties to the Kyoto Protocol (while the CMA made corresponding suggestions) and can currently be accessed via:

https://unfccc.int/sites/default/files/resource/cmp2018_8_Add.1_advance.pdf

	the periodic assessment of the effectiveness of and the adequacy of the support provided to the Technology Mechanism in supporting the implementation of the PA (para.69)	periodic assessment; 1 st assessment to be initiated at CMA4 in 2021 with a view to completing it at CMA5 in 2022 (16/CMA.1, paras 1 and 3)	alignments between processes relating to review of CTCN and periodic assessment with a view to recommending decision for adoption by CMA3 in 2020 (16/CMA.1, para.6)
Capacity-building			
Art.11 underlines the need for capacity building in developing countries	To review, consider and adopt a decision on the initial institutional arrangements for capacity-building (Art.11.5) at CMA1	None adopted at CMA1 - but the Paris Committee on Capacity-building (PCCB) was established in 2015 and has commenced work	CMA2 to consider and adopt decision on initial institutional arrangements (3/CMA.1, para.13)
	Review progress, need for extension, effectiveness of Paris Committee on Capacity-building with a view to making recommendation to CMA2 at COP25 (in 2019) (para.81)		CMA2 to consider recommendations made by COP25 (Dec 2019) on enhancing institutional arrangements for capacity-building (3/CMA.1, para.12)
Climate change education and awareness			
Art.12: A general commitment to cooperate in enhancing education, training, awareness and public participation	CMA1 invited to explore ways of enhancing the implementation of training, public awareness, participation and access to information (1/CP.21 para.83)	Action under Art.12 will also be referred to as “Action for Climate Empowerment” (17/CMA.1 para.1) and efforts under UNFCCC Art.6 (education and training) consolidated with Art.12 implementation (17/CMA.1, paras 3, 5 - 11)	Secretariat requested to organize 7 th Dialogue on Action for Climate Empowerment in 2019 and various other activities (17/CMA.1, para.12)
Transparency of action and support			
Art.13 creates the transparency framework through which parties will report on their efforts to address climate change	Common modalities, procedures and guidelines (MPG) for the transparency of action and support (Art.13.13), and define the year of their first and subsequent review and update at regular intervals (para.91)	Adopted a comprehensive set of common rules (that apply to all parties) with some flexibility for developing countries that need it. 1 st biennial transparency report (BTR) and national inventory report to be submitted by 31st December 2024.	MPGs to be reviewed and updated, as appropriate, no later than 2028 (18/CMA.1, para.2); SBSTA to develop common tabular formats, outlines of BTRs, technical expert review reports, and a training programme for technical experts for adoption by CMA3 in 2020

		LDCs and SIDs may submit information at their discretion. Parties to nominate experts and UNFCCC Consultative Group of Experts will also serve PA (18/CMA.1, paras 1, 3, 4, 5, 15 & Annex).	(18/CMA.1, para.12)
This includes national greenhouse gas inventories (Art.13.7 a)	To be prepared using good practice methodologies accepted by the IPCC and agreed by CMA (Art.13.7.a)	No specific timeline indicated but in time for Parties to prepare the reports for the global stocktake (before 2023)	Common reporting tables and outline of national inventory document to be developed by SBSTA for adoption at CMA3 in 2020 (18/CMA.1, para.12)
Global stocktake			
Art.14: Assessing collective progress every 5 years, starting in 2023	Identify the sources of input for the global stocktake (1/CP.21 para.99) at CMA1	A non-exhaustive list (including e.g. IPCC, UN, party and non-party reports) was agreed (19/CMA.1, paras 36 and 37)	SBSTA may complement the list of inputs at its session before the start of the information collection and preparation component of the global stocktake (19/CMA.1, para.38)
	Develop modalities for the global stocktake (para.101)	Parties decided on a 3-stage party driven process consisting of information collection and preparation, technical assessment and a presentation of findings at high-level events (19/CMA.1, paras 3 and 19-34)	SBSTA and SBI chairs to develop guiding questions for all components of the global stocktake (19/CMA.1, para.7); review of procedural and logistical elements based on 1 st experience but no timeline given (19/CMA.1, para.15)
Facilitating implementation and promoting compliance			
Art.15 establishes a mechanism to facilitate compliance consisting of a committee that functions in a non-adversarial, non-punitive manner	The modalities and procedures for the operation of the committee are to be adopted at CMA1 (Art.15 para.3, 1/CP.21 para.103)	Parties agreed on election process, the initiation of procedures (self-referral and committee driven in case of non-compliance with mandatory reporting requirements) and outputs (20/CMA.1, para.1)	Committee members to be elected at CMA2 in 2019 (Annex to 20/CMA.1, para.8); Committee to develop internal rules of procedure for adoption at CMA3 in 2020 (Annex, para.17); modalities and procedures to be first reviewed at CMA7 in 2024 (20/CMA.1, para.2)