



United Nations

FCCC/APA/2017/INF.3



Framework Convention on  
Climate Change

Distr.: General  
28 April 2017

English only

---

## Ad Hoc Working Group on the Paris Agreement

Third part of the first session

Bonn, 8–18 May 2017

Agenda item 4

**Further guidance in relation to the adaptation communication, including, inter alia, as a component of nationally determined contributions, referred to in Article 7, paragraphs 10 and 11, of the Paris Agreement**

## Submissions on agenda item 4 of the Ad Hoc Working Group on the Paris Agreement

Synthesis report by the secretariat

### *Summary*

This document was prepared by the secretariat in response to the request made by the Ad Hoc Working Group on the Paris Agreement, at the second part of its first session, to prepare, by 30 April 2017, a synthesis of all submissions by Parties on agenda item 4, “Further guidance in relation to the adaptation communication, including, inter alia, as a component of nationally determined contributions, referred to in Article 7, paragraphs 10 and 11, of the Paris Agreement”. It synthesizes the 31 submissions received from Parties or groups of Parties by 28 April 2017.

GE.17-06884(E)



\* 1 7 0 6 8 8 4 \*

Please recycle 



## Contents

	<i>Paragraphs</i>	<i>Page</i>
I. Mandate and scope .....	1–3	3
II. General aspects.....	4–9	3
A. Context for the work on further guidance .....	4	3
B. Adaptation and the adaptation communication in the Paris Agreement .....	5–6	4
C. Developing further guidance under agenda item 4 .....	7–9	5
III. Purposes of an adaptation communication .....	10–21	6
A. General views related to purpose .....	10	6
B. Views related to specific purposes.....	11–21	7
IV. Elements of an adaptation communication.....	22–40	10
A. General views related to elements .....	23	10
B. Views related to specific elements.....	24–40	11
V. Linkages between the adaptation communications and related processes .....	41–47	17
A. General views related to linkages .....	42–43	17
B. Views related to linkages with the global stocktake, the transparency framework, the public registry and other issues .....	44–47	17
VI. Vehicles for an adaptation communication .....	48–65	20
A. General views related to vehicles .....	48–60	20
B. Views related to specific vehicles.....	61–64	21
C. Time frames .....	65	23
VII. Flexibilities regarding adaptation communications.....	66–76	24
A. Flexibilities stipulated in the Paris Agreement .....	67–68	24
B. Ensuring flexibility .....	69–72	25
C. Avoiding additional burdens.....	73–76	26
VIII. Additional information.....	77–80	27

## I. Mandate and scope

1. This document was prepared by the secretariat in response to the request made by the Ad Hoc Working Group on the Paris Agreement (APA), at the second part of its first session, to prepare, by 30 April 2017, a synthesis of all submissions by Parties on agenda item 4, “Further guidance in relation to the adaptation communication, including, inter alia, as a component of nationally determined contributions, referred to in Article 7, paragraphs 10 and 11, of the Paris Agreement”.<sup>1</sup>
2. As at 28 April 2017, the secretariat had received 31 submissions from Parties or groups of Parties, all of which are synthesized in this document.<sup>2</sup>
3. The structure of this document reflects the themes identified by Parties at APA 1.2, which were captured in the informal summary note by the co-facilitators at the same session,<sup>3</sup> taking into account the views contained in the submissions. The themes are purpose, elements, linkages, vehicles and flexibility.

## II. General aspects

### A. Context for the work on further guidance

4. In terms of the overall context, the submissions highlighted the following issues:
  - (a) Adaptation is a global challenge faced by all countries at all levels, a priority for particularly vulnerable developing country Parties, a matter of survival for people and ecosystems that need to adapt to the effects of climate change that they already face, and important to all countries, including countries with economies in transition;
  - (b) It was highlighted that some countries are particularly vulnerable to climate change and bear a disproportionate burden in adaptation;
  - (c) The urgency of adaptation is underlined by the fact that mitigation in current intended nationally determined contributions (INDCs) translates to a 2.8 °C global average temperature rise by the end of the century;
  - (d) Adaptation is an integral part of the Convention and the Paris Agreement, including their objectives;
  - (e) As recognized by the Convention and the Paris Agreement, the principle of common but differentiated responsibilities and respective capabilities is important for mitigation and adaptation efforts, and should, together with other principles of the Convention as well as that of equity, guide the work on further guidance for the adaptation communication, in conjunction with, inter alia, Articles 2, 3, 7 and 8 of the Paris Agreement;
  - (f) Political parity between mitigation and adaptation is essential. Even with timely ambitious mitigation, adaptation is needed;
  - (g) Political trust and domestic relevance are required for successful implementation of adaptation under the Paris Agreement;

---

<sup>1</sup> FCCC/APA/2016/4, paragraph 21.

<sup>2</sup> The submissions are available in the UNFCCC submissions portal at <http://www4.unfccc.int/Submissions/SitePages/sessions.aspx?focalBodies=APA>.

<sup>3</sup> [http://unfccc.int/files/meetings/marrakech\\_nov\\_2016/in-session/application/pdf/apa\\_item\\_4\\_informal\\_summary\\_note\\_final\\_version\\_14112016\\_1920.pdf](http://unfccc.int/files/meetings/marrakech_nov_2016/in-session/application/pdf/apa_item_4_informal_summary_note_final_version_14112016_1920.pdf).

(h) Adaptation must be country-driven, and the adaptation communication shall be based on that diversity, and should consider national development priorities and capabilities, particularly poverty, hunger eradication and food security priorities, natural ecosystems and forests, in the context of sustainable development;

(i) Vulnerable countries need means of implementation, including finance, technology and capacity-building, in order to face challenges and increase adaptive capacity and resilience;

(j) Work on further guidance needs to sustain and protect the balance of the Paris Agreement between the recognition of the national/local nature of adaptation and the urgency to act internationally;

(k) Mandates should be given to UNFCCC bodies and, inter alia, the Intergovernmental Panel on Climate Change (IPCC) in order to operationalize adaptation under the Paris Agreement, building on the work of, for example, the Least Developed Countries Expert Group and the Standing Committee on Finance on methodologies and guidelines to operationalize the global goal on adaptation and elements to be considered in the global stocktake.

## **B. Adaptation and the adaptation communication in the Paris Agreement**

5. The submissions reflected on the **overall consideration of adaptation in the Paris Agreement**, highlighting that the Paris Agreement:

(a) Aims to strengthen the global response to climate change, in the context of sustainable development and poverty eradication, including by limiting global temperature increase and increasing the ability to adapt and foster resilience;

(b) Recognizes adaptation as a key component of the global response to climate change and the importance of strengthening adaptation through the adaptation communication;

(c) Provides provisions to scale up action and to increase effectiveness;

(d) Establishes a global goal on adaptation and addresses various aspects of it;

(e) Recognizes the relationship between the temperature goals of the Paris Agreement, the required adaptation and the necessary means of implementation for adequate action;

(f) Is critical for achieving the objective of the Convention;

(g) Is guided by the principles of the Convention, including equity and common but differentiated responsibilities and respective capabilities, and its objective. Thus, the commitments outlined in Article 4 of the Convention apply under the Paris Agreement;

(h) Provides, in Article 7, paragraph 9, that Parties shall, as appropriate, engage in adaptation planning processes and the implementation of actions, including the development or enhancement of relevant plans, policies and/or contributions, and outlines options for such engagement;

(i) Elevates adaptation at the national and global level, including through the global goal on adaptation and the commitment to undertake adaptation planning processes, and highlights the importance of country-driven, gender-responsive and participatory adaptation action;

(j) Moves towards parity between mitigation and adaptation (which is also reflected in nationally determined contributions (NDCs)), including by integrating

adaptation as a component of NDCs (also referred to in the submissions as a-NDCs) and ensuring the provision of enhanced means of implementation.

6. The submissions also reflected on the **provisions for adaptation communications stipulated in the Paris Agreement**, highlighting that:

(a) Article 7, paragraph 10, provides that each Party should, as appropriate, submit and update periodically an adaptation communication, which may include its priorities, implementation and support needs, plans and actions, without creating any additional burden for developing country Parties;

(b) Article 7, paragraph 11, provides that the adaptation communication referred to in paragraph 10 of the same Article shall be, as appropriate, submitted and updated periodically, as a component of or in conjunction with other communications or documents, including the national adaptation plan (NAP), the NDC as referred to in Article 4, paragraph 2, of the Paris Agreement and/or the national communication (NC);

(c) Article 7, paragraph 12, stipulates that the adaptation communication referred to in paragraph 10 of the same Article shall be recorded in a public registry maintained by the secretariat;

(d) Article 7, paragraph 14(b), provides that the global stocktake shall, inter alia, enhance the implementation of adaptation action taking into account the adaptation communication referred to in paragraph 10 of the same Article;

(e) The Paris Agreement and decision 1/CP.21 do not define guidance in relation to the adaptation communication or obligations to develop a new report/communication.

### C. Developing further guidance under agenda item 4

7. In terms of the **status of current guidance**, the submissions highlighted that:

(a) There are existing guidelines that request Parties to report on adaptation;

(b) There are no guidelines on an adaptation communication. This creates uncertainty for developing countries in developing NAPs and preparing NCs and makes analysis or aggregate understanding of adaptation difficult;

(c) There is uncertainty on the timing of the release of guidelines, which are important for timely national adaptation planning processes to inform NCs;

(d) The development of guidance is an urgent priority. The Convention and the Paris Agreement create the current framework for recognizing the needs of countries that are particularly vulnerable and have the least capacity regarding UNFCCC reporting.

8. In their submissions, Parties outlined their **overall expectations for guidance on the adaptation communication**, including that the guidance should:

(a) Be applicable regardless of which type of document the Party chooses to use for communication;

(b) Be provided by defining categories of information, which should be revised iteratively to ensure that the adaptation communication is as useful as possible;

(c) Be flexible and consider existing adaptation information as well as existing reporting guidelines, to avoid additional burden on Parties;

(d) Be high-level and enable Parties to meet multiple objectives without submitting multiple reports;

- (e) Reflect the localized, context-specific nature of adaptation;
- (f) Reaffirm the priorities, implementation and support needs, plans and actions of countries that are particularly vulnerable, without creating any additional burden on them;
- (g) Address the scope, frequency and level of detail of the communication;
- (h) Provide accurate and updated information on climate adaptation;
- (i) Be developed using the global goal on adaptation as well as practical realities and scenarios as points of departure;
- (j) Clarify the information needs for operationalizing NDCs and for enabling Parties to evaluate the aggregate effect of their adaptation communications as part of the global stocktake;
- (k) Enable a follow-up on the adaptation communication through the transparency framework and the global stocktake;
- (l) Help to ensure balance between adaptation and mitigation in the implementation of the Paris Agreement;
- (m) Not lead to comparisons of adaptation actions;
- (n) Not duplicate existing efforts;
- (o) Consider that undertaking and communicating adaptation are discretionary under the Paris Agreement, while providing adaptation-related support to developing countries is an obligation of developed countries, as stipulated in Article 7, paragraph 13, of the Paris Agreement, in the context of Article 4, paragraph 4, of the Convention.

9. It was suggested that the guidance could be developed through a stepwise approach, beginning by completing work on related items under the Subsidiary Body for Implementation, the Subsidiary Body for Scientific and Technological Advice and the APA, so that the guidance can build on those arrangements.

### III. Purpose of an adaptation communication

#### A. General views related to purpose

10. On the **general purpose of adaptation communications**, the submissions highlighted:

- (a) That reporting on adaptation is essential to achieve the objectives and to implement the adaptation provisions of the Convention and the Paris Agreement;
- (b) The need to consider all suggested purposes when analysing which elements would be useful and clarifying the relationship with the guidelines for the vehicles referred to in Article 7, paragraph 11, of the Paris Agreement;
- (c) That guidance could acknowledge various roles or purposes and help inform the content of the communication;
- (d) That the adaptation communication could be an ‘executive summary’ that enables the communication of information on national adaptation planning processes, whether captured in the process to formulate and implement a NAP, national climate change response strategy, climate resilience action plan or another form, to broader audiences;

(e) That the adaptation communication is an overarching concept to communicate adaptation efforts;

(f) That, since adaptation is specific to each country, comparing information on adaptation would be counterproductive to the purpose of adaptation communications, burden developing countries and reduce flexibility;

(g) The importance of the adaptation communications for communicating, for example, needs and priorities, plans and actions, and indicative levels of support, and for highlighting actions with forward-looking components;

(h) That communication of information on adaptation plays a fundamental role in pursuing climate-resilient sustainable development.

## B. Views related to specific purposes

11. On the **recognition of efforts**, the submissions highlighted that adaptation communications should help recognize efforts in the context of Article 7, paragraph 3, of the Paris Agreement. They could be a source of information for recognition, subject to modalities to be adopted by the Conference of the Parties serving as the meeting of the Parties to the Paris Agreement.

12. On **enhancing the profile and visibility of adaptation**, the submissions emphasized that adaptation communications should:

(a) Enhance and maintain the profile of adaptation in a manner that engenders adaptation support and implementation, nationally and internationally;

(b) Provide visibility to forward-looking plans as well as to efforts undertaken and achievements, including at the national level, and help the coordination and mainstreaming of adaptation in relevant sectors;

(c) Highlight the importance of adaptation and countries' leadership in addressing climate risks;

(d) Communicate priorities to stakeholders;

(e) Signal why adaptation is critical for climate goals and development, rally domestic stakeholders and actors behind the issue, create impetus and accumulate high-level attention. They could also be a source of information for domestic decision makers and donors;

(f) Showcase, in a distilled manner accessible to a wide range of readers, a country's national adaptation planning process;

(g) Also showcase priorities, actions and progress at a high level and in a concise, easily accessible manner.

13. The submissions suggested that adaptation communications can **facilitate support** by:

(a) Enhancing the provision and communication of adaptation support under Article 7, paragraph 13, of the Paris Agreement consistent with the obligations under Article 4, paragraph 4, of the Convention;

(b) Communicating national circumstances, vulnerabilities, plans and actions in order to attract national and international support and resources;

(c) Identifying existing capacity, resources and support for adaptation;

(d) Fostering the identification and communication of priorities, needs (technology, finance and capacity-building) and plans to help link support to the implementation and enhancement of adaptation and to allow more efficient support for adaptation;

(e) Helping to create an understanding of adaptation as a long-term process to mobilize support and facilitate access to means of implementation;

(f) Facilitating the review of the adequacy and effectiveness of adaptation-related support;

(g) Creating incentives for international funding aligned with national adaptation priorities, instead of isolated efforts prioritized by international agencies;

(h) Helping to target support through the means of implementation from a variety of sources, including the public and private sectors.

14. The submissions highlighted that adaptation communications could **incentivize, catalyse and enhance the implementation of adaptation**. They could, for example:

(a) Help achieve the global goal on adaptation (Article 7, paragraph 1, of the Paris Agreement), the purpose of the Paris Agreement (Article 2, paragraph 1(b)) and the objective of the Convention;

(b) Enhance and catalyse action at the global, regional, national, subnational and local levels through the clear and effective communication of priorities, needs and plans;

(c) Be an opportunity to set goals and priorities, assess vulnerabilities, identify priorities and sequencing, and set goals for achieving priorities;

(d) Inform strategies, priorities, implementation and support needs, and plans and actions, as well as recommendations to enhance implementation, as stipulated in Article 7, paragraph 14(b), of the Paris Agreement;

(e) Help fill knowledge gaps in order to enhance domestic action and coordination and to attract international support;

(f) Promote multisectoral, local and national political processes that help define actions, priorities, needs and plans;

(g) Facilitate national adaptation planning processes;

(h) Inform Parties on how to prioritize, focus and strengthen efforts and cooperation, including support, in order to improve the domestic effectiveness of adaptation and enhance ambition;

(i) Help manage risks at the national and international levels.

15. The submissions noted that adaptation communications could **enhance the understanding of adaptation-related issues**. They could, for example:

(a) Strengthen and/or highlight information in existing reporting vehicles that could otherwise be tedious to read and understand;

(b) Support the understanding of impacts, exposure and vulnerability at the local, national and regional scales, as well as the diversity of territories and capabilities;

(c) Promote accountability and transparency at the country level;

(d) Improve the understanding of needs and priorities;

(e) Help evaluate progress towards national adaptation goals and targets;



(f) Help countries and the international community to understand the undertakings of others and ongoing transformational processes, and use that understanding to improve planning processes and to enhance implementation and efficiency;

(g) Facilitate the understanding of synergies in priorities and needs as opportunities to enhance adaptation action and issues such as research, development and investment.

16. In order to **enhance the understanding of issues relevant to the global goal on adaptation** and to facilitate its operationalization, it was suggested that adaptation communications could:

(a) Identify the contribution of adaptation actions towards enhancing resilience and adaptive capacity in the context of the global goal on adaptation;

(b) Enhance the understanding of progress made and the challenges ahead on adaptation action, including towards the global goal on adaptation;

(c) Facilitate the aggregated assessment of progress and provide information on the aggregated efforts of Parties towards the global goal on adaptation.

17. Regarding the purpose of an adaptation communication in the context of the **global stocktake**, the submissions highlight that:

(a) According to Article 7, paragraph 14, of the Paris Agreement and decision 1/CP.21, paragraph 99, the adaptation communication will be taken into account in the global stocktake, which will, inter alia, enhance the implementation of adaptation;

(b) The global stocktake will benefit from a shared understanding of the state of implementation of adaptation, progress made and challenges ahead;

(c) The adaptation communication should facilitate a global overview of support needs and finance provided, and provide the global stocktake with information on the state of adaptation efforts, support, experience and priorities;

(d) Details on how the adaptation communication will be taken into account should be discussed under agenda item 6, "Matters relating to the global stocktake referred to in Article 14 of the Paris Agreement", of the APA.

18. Parties highlighted that adaptation communications could **facilitate cooperation** through, for example:

(a) The collaboration and support needed for strengthening the implementation of adaptation actions;

(b) Prioritizing, focusing and strengthening collective efforts, including support from multiple sources, including public and private;

(c) Regional work via, for example, regional dialogues and international forums, since some countries have common risks.

19. The submissions highlighted that adaptation communications can help **share experience, knowledge, information, lessons learned, success stories and best practices**, which are vital for coordination and collaboration at all levels. This would increase the understanding of adaptation as a long-term iterative process and improve the effectiveness of efforts, and could include information on:

(a) Lessons learned from scientific analysis (impact/vulnerability assessment);

(b) Adaptation planning, actions undertaken and progress;

(c) Positive and negative results and lessons learned from implementation, including pilot projects;

(d) Best practices in planning, implementing and funding adaptation.

20. The submissions also highlighted that adaptation communications can help **build capacity**. The process of preparing an adaptation communication will help countries with the least capacity build and retain capacity as they contribute to achieving the global goal on adaptation.

21. The adaptation communication was identified as an opportunity to **enhance linkages and synergies** and to bridge gaps with other processes, such as the Sustainable Development Goals and the Sendai Framework for Disaster Risk Reduction. Sharing information helps create synergies, enhances coherence and links across policies, and avoids creating reporting burdens. Benefiting from synergies is particularly important for countries with the least capacity, which have severe capacity constraints.

#### IV. Elements of an adaptation communication

22. The submissions contained views on various elements and types of information that could be included in an adaptation communication. This chapter summarizes those views, organized on the basis of the elements identified at the United Nations Climate Change Conference in Marrakech, Morocco, and in the submissions.

##### A. General views related to elements

23. The submissions provided the following **general observations and preferences on the overall characteristics of the elements**:

(a) Minimum information and modalities are needed to enhance action and ensure follow-up, including evaluating the aggregate effect of a-NDCs at the global stocktake and tracking progress towards the objectives of the Convention and the Paris Agreement;

(b) Elements and/or features must contribute to operationalizing and tracking progress towards the global goal on adaptation and to the tracking of progress towards adequate adaptation response;

(c) Article 7, paragraph 10, of the Paris Agreement provides an initial set of elements to be included in the adaptation communication. Those elements are not mutually exclusive;

(d) The elements should be comprehensive enough to cover the requirements of reporting under any vehicle mentioned in Article 7, paragraph 11, of the Paris Agreement;

(e) Work should focus on identifying the basic information to be included in the adaptation communication, while bearing in mind flexibility and Article 7, paragraph 10, of the Paris Agreement;

(f) While adaptation must be country-driven and national and local in nature, the guidance on elements that may be included shall be common to all Parties;

(g) In order to communicate efficiently, the guidance should identify common elements for the adaptation communication that could be used for all vehicles; such common elements would be a good basis for developing the adaptation component of the global stocktake, while maintaining the freedom of choice of reporting vehicle;

- (h) The guidance could highlight a menu of options and/or elements for the adaptation communication to achieve specific purposes;
- (i) The information communicated should encompass the whole bandwidth of adaptation information so as to ensure the usefulness of the adaptation communication;
- (j) In order to enable interested Parties to report additional information, a non-exhaustive list of ‘other’ elements could be developed, but it should not be mandatory or a basis for the assessments in the global stocktake;
- (k) The guidance should consider categories of information that facilitate the development of and follow-up on the adaptation communication. The categories could be drawn from existing instruments and shared by all Parties. But they should not be a requirement for accessing support from any source. They could be:
- (i) Common information that all Parties could address (e.g. context, actions, support needs and development strategies);
- (ii) Additional information included voluntarily (e.g. on monitoring and evaluation, co-benefits, and contribution to the global goal on adaptation);
- (l) The guidance provided on the categories would not be permanent but could be improved on through periodic review;
- (m) Most of the elements that Parties are considering for inclusion in adaptation communications are covered by guidance on existing communication/reporting vehicles or are included in the adaptation component of NDCs.

## B. Views related to specific elements

24. In their submissions, Parties elaborated on **the elements already identified in the Paris Agreement**, highlighting that:

(a) Article 7, paragraph 10, of the Paris Agreement provides a framework/guidance on features/elements of information that could be included in adaptation communications: priorities, implementation and support needs, plans and actions. Those features/elements provide a non-exhaustive list of the information that could be included and are a starting point to be elaborated on;

(b) Parties could apply the above-mentioned features/elements, while considering their national circumstances, legal and policy frameworks, institutional arrangements, and adaptation plans, programmes, strategies and actions.

25. The submissions suggested including information on the **long-term vision or goals** for adaptation as well as overall policy objectives. It was suggested to elaborate on how visions and goals contribute to the global goal on adaptation, and to provide context-specific information.

26. The submissions proposed including information on **national circumstances**, in order to, for instance, reflect vulnerabilities, needs for resilience-building, the impact of adaptation actions on national circumstances, and the relevance of existing actions and policies to national circumstances.

27. In terms of **capacity, development priorities and relationship with sustainable development**, Parties suggested including the following types of information in the adaptation communication:

(a) Development context, key sectors and actions to safeguard development gains and promote economic development;

- (b) Information on the state of adaptive capacity;
- (c) Synergy with national goals or policies related to improved adaptive capacity and resilience, and reduced vulnerability;
- (d) Information related to the relationship between adaptation actions, economic priorities and the Sustainable Development Goals;
- (e) Information relevant to integrating adaptation into development planning.

28. In terms of **impacts, vulnerabilities and risks**, the submissions suggested including information on the following:

- (a) Science-based assessments of impacts, vulnerability, and risks, including the identification of the most vulnerable sectors or geographical zones and of key hazards, informed by temperature scenarios;
- (b) Risks and vulnerabilities in the short, medium and long terms (while focusing on current risks is essential, incorporating future risk into decision-making and prioritization helps ensure that Parties are not locked into maladaptation);
- (c) Monitoring systems for impacts;
- (d) Adaptive capacity;
- (e) How adverse effects are hindering socioeconomic development and reducing living standards as well as the health of vulnerable communities and ecosystems;
- (f) Scientific information, including that collected and compiled by the IPCC;
- (g) Vulnerability assessment in the context of a-NDCs so as to understand exposure, on the basis of the proportion of populations exposed to stresses, and vulnerable sectors and areas. This could be quantified through risk assessments under temperature scenarios, which could be aggregated by the secretariat to get an idea of global vulnerability levels. This will help define the baseline of vulnerability and assess progress towards the global goal on adaptation. The IPCC could develop guidelines, including metrics, to enable standardization and aggregation, and could publish reports every five years on global vulnerability levels;
- (h) Loss and damage due to climate-related impacts.

29. In terms of **legal and policy frameworks and institutional arrangements**, the submissions suggested including information on:

- (a) Legal, policy and regulatory frameworks, as well as institutional arrangements, relevant to adaptation policies at the national, regional and subnational levels, in order to understand the legal and policy context of actions to address impacts;
- (b) Governance and institutions relevant to adaptation, including processes, policies, regulations and legislation;
- (c) Strategies, programmes and plans that provide an enabling environment for adaptation;
- (d) The coordination and involvement of stakeholders in planning and implementation;
- (e) Decision-making processes;
- (f) Development instruments through which adaptation actions or priorities are implemented, including national development plans and local and sectoral plans and projects;

(g) The evolution of domestic planning vis-à-vis changing social, environmental and economic contexts (e.g. reforms of adaptation governance), providing an opportunity to recognize planning efforts and highlight lessons learned.

30. Regarding **priorities, plans and actions, as well as programmes and strategies (not limited to NAPs)**, the submissions suggested including the following types of information:

- (a) Plans, including information on:
  - (i) Planning objectives in the context of development priorities;
  - (ii) How resilience is considered in development planning and sectoral plans;
- (b) Policies, including the development of national and subnational policies and efforts to mainstream adaptation into development plans;
- (c) Strategies and implementation strategies (e.g. an overview of the main aspects of a plan from goals and priorities to action);
- (d) Adaptation programmes, including country programmes developed under the Green Climate Fund's Readiness and Preparatory Support Programme, but not limited to NAPs;
- (e) Priorities/priority actions, including processes to prioritize addressing vulnerabilities and to pursue specific adaptation options (this is a critical information gap in national adaptation planning, which affects the ability to balance needs with limited resources and to allocate support for adaptation at the sectoral and subnational levels);
- (f) Planned actions, including, inter alia, resilience-building, actions under implementation and/or actions that consider vulnerable groups, human rights and gender responsiveness in adaptation strategies;
- (g) Actions, opportunities and projects in key sectors;
- (h) Adaptation options identified in relation to the development context and risks and vulnerabilities;
- (i) Time frames for short-, medium- and/or long-term actions;
- (j) Information on adaptation at the national and subnational levels, including the local, sectoral, subnational, national, regional and international dimensions of adaptation priorities, plans and needs;
- (k) Information on how plans and actions are linked to vulnerabilities and expected outcomes, and how they contribute to the global goal on adaptation by enhancing adaptive capacity, reducing vulnerability and building resilience, in the context of sustainable development, as well as activities not implemented yet due to, for example, lack of finance or technology;
- (l) Information on how adaptation efforts can respond to temperature goals.

31. Regarding information related to the **recognition of adaptation efforts and progress in implementation**, the submissions proposed to include the following types of information:

- (a) The state of adaptation efforts;
- (b) Information to reflect the significant investments in adaptation by developing countries, which could include:
  - (i) Details of actions taken in the last five years, including the types of programmes/projects undertaken;

- (ii) Investments per sector in previous NDC periods, expressed as a percentage of gross domestic product or in absolute figures, and information on national policies and plans, including those not included in national climate change frameworks;
  - (c) Information on adaptation actions that increase resilience and adaptive capacity and/or reduce vulnerability to climate change in the context of the global goal on adaptation (Article 7, paragraph 1, of the Paris Agreement);
  - (d) The country's contribution to the global goal on adaptation in terms of planning and implementation;
  - (e) Information on support provided for adaptation in developing country Parties by developed countries;
  - (f) Information on progress on ecosystem-based adaptation, including the application of traditional ecological knowledge;
  - (g) Information of the implementation of and progress on adaptation, including:
    - (i) Measures or actions under implementation and implemented in specific areas and/or sectors in the short- and long-term time frames;
    - (ii) Information on progress of actions, programmes and policies, including increases in resilience and decreases in vulnerability, good practices, upscaling opportunities and challenges.
32. It was also stated that it would not help to use adaptation communications as another means of reporting on progress; rather they should focus on forward-looking elements such as plans, priorities, needs and actions, in order to enhance upcoming efforts.
33. Regarding **co-benefits**, the submissions suggested to include information on:
- (a) The mitigation co-benefits of adaptation;
  - (b) Actions that have synergies with mitigation in order to reflect more adequately the fulfilment of NDCs;
  - (c) How adaptation contributes to national sustainable development;
  - (d) The evaluation of co-benefits (e.g. the conservation and restoration of coastal wetlands, blue carbon sequestration and storage, black carbon and other short-lived climate pollutants).
34. Regarding the **costs of adaptation**, the submissions suggested including information on:
- (a) The financial costs of actions already delivered or under implementation;
  - (b) The costs of adaptation that reflect the country's NDC on adaptation, support needs for NAPs during NDC implementation, and financial gaps and constraints.
35. Regarding **implementation and support needs and adaptation needs**, the submissions highlighted that adaptation communications could include information on:
- (a) Implementation and support needs;
  - (b) The adaptation support needs of developing countries, including finance, technology and capacity-building needs to implement identified actions (if possible, distinguishing between conditional and national actions);
  - (c) Sources of finance, including North–South and South–South cooperation, private finance and other funds;

(d) Adaptation needs and costs, and means of implementation required to develop adaptation at the national and subnational levels, as appropriate;

(e) Finance, technology and capacity-building required by developing countries to implement adaptation in the context of the global temperature goal and scenarios. The IPCC could develop methodologies for estimating the cost of adaptation and needs with input from the Adaptation Committee. This information would help assess progress towards the global goal on adaptation and the adequacy of support provided as part of the global stocktake (Article 7, paragraph 14(c), of the Paris Agreement). The information should outline implementation needs in the next commitment cycle. Developing countries would require capacity-building for communicating such information;

(f) Knowledge, research and institutional capacity gaps.

36. In terms of the **indicative level of support and the adequacy of the support provided**, the submissions highlighted that:

(a) The adaptation communication should contain information on:

(i) Support provided and/or received;

(ii) Level and adequacy of support provided in accordance with Article 7, paragraph 13, of the Paris Agreement;

(iii) Domestic and international investments;

(b) Developed countries should communicate information on indicative support and support provided (by developed countries);

(c) Such information should facilitate adaptation and the evaluation of financial and technical needs for the implementation of NDCs and for the level and adequacy of the support provided, and should contribute to the assessment of support and adaptation needs in the global stocktake;

(d) Parties face difficulties in reporting on adaptation support received because it is often channelled outside official development assistance and much of it is underrepresented in official figures. All adaptation support must be reported as “new and additional” adaptation finance in order to enable Parties to report levels and beneficiaries of support received and to quantify needs;

(e) The Paris Agreement includes commitments for developed countries to provide finance to developing countries (Article 9, paragraph 1) as well as biennial information on finance provided and mobilized (Article 9, paragraph 7) and indicative quantitative and qualitative information on the intended levels of support to be provided (Article 9, paragraph 5). This should include information on sectors, geographical locations/regions targeted and the type of support; be built on the revised common tabular format provided in the annex to decision 9/CP.21; and help the assessment of the adequacy of the support provided to developing countries in the global stocktake (Article 7, paragraph 14(c)). The secretariat could prepare a synthesis report on the two most recent biennial communications shared in the five-year cycle as input to the global stocktake.

37. The submissions suggested the types of information that Parties could include on **monitoring and evaluation**:

(a) How the country is planning to monitor and evaluate its progress, including methods and tools;

(b) How the country ensures that adaptation actions are effective;

(c) Information on monitoring and evaluation at the national and regional levels;

(d) Methodologies used to assess vulnerability reduction and increased resilience in the most vulnerable communities;

(e) Information on systems and indicators as well as challenges in establishing monitoring and evaluation systems;

(f) How actions have increased resilience and reduced risks in key areas, and how conditions have changed as a consequence of adaptation, in particular for the most vulnerable communities and ecosystems;

(g) Review of the adequacy and effectiveness of actions and support;

(h) Information that contributes to enhancing the transparency framework;

(i) Information related to monitoring and evaluation should be communicated where appropriate and possible. For some countries, consistent monitoring and evaluation is difficult due to a lack of indicators, baselines and support.

38. The submissions suggested that adaptation communications could include information on **cooperation**, in particular on:

(a) Cooperation at the national, regional and international levels;

(b) Arrangements, organizations and networks for sharing information, good practices, experience and lessons learned, including for strengthening scientific knowledge regionally;

(c) Good practices and lessons learned at the sectoral and geographical levels;

(d) Lessons learned, good practices and maladaptation;

(e) Linkages related to efforts by Parties, including regional efforts and South–South cooperation, to address shared issues such as water and biodiversity.

39. In addition, Parties highlighted the following **additional types of information** that could be included:

(a) Information on the engagement of private investment in adaptation action and support. Adaptation communications could inform on how countries engage the private sector in adaptation and encourage shared responsibility for risk management;

(b) Regional climate change detection and attribution studies (e.g. in relation to water and food security);

(c) Cross-cutting considerations (e.g. how participation, gender considerations, and indigenous and traditional knowledge are integrated into adaptation).

40. It was also suggested to **streamline the elements contained in the information note by the secretariat**<sup>4</sup> as a basis for a non-exhaustive list of possible elements. Another suggestion was to streamline those elements into six elements as follows:

(a) National circumstances;

(b) Impacts, vulnerabilities and risks;

(c) Priorities, plans, programmes and actions for implementation;

(d) Adaptation needs and costs (for developing countries);

(e) The indicative level of support to be provided (by developed countries);

(f) Adaptation efforts for recognition.

---

<sup>4</sup> FCCC/APA/2017/INF.1.



## V. Linkages between adaptation communications and related processes

41. This chapter highlights views outlined in the submissions related to linkages between the adaptation communications and related processes, in particular the global stocktake, the transparency framework and the public registry referred to in Article 7, paragraph 12, of the Paris Agreement.

### A. General views related to linkages

42. The submissions outlined many linkages between the adaptation communications and other communications and/or documents, including NAPs, NDCs and NCs. These are summarized in chapter VI below.

43. In general terms, the submissions suggested that:

(a) There are linkages between the adaptation communication, transparency framework and global stocktake;

(b) The international follow-up on the adaptation communication will happen under both the transparency framework and the global stocktake;

(c) Guidance needs to consider interlinkages with other workstreams using adaptation information, especially under Articles 13 and 14 of the Paris Agreement;

(d) In order to enhance the implementation, effectiveness and efficiency of adaptation, communicated information could be considered by all processes, actors and bodies;

(e) Work is under way to assess the outcomes of adaptation actions and to enhance reporting under the NAP process (under Subsidiary Body for Implementation agenda item 9, “National adaptation plans”) and the transparency framework.

### B. Views related to linkages with the global stocktake, the transparency framework, the public registry and other issues

44. Regarding the **linkage between the adaptation communication and the global stocktake**, the submissions highlighted that:

(a) The global stocktake has four adaptation components:

(i) Recognizing efforts;

(ii) Enhancing implementation;

(iii) Reviewing the adequacy and effectiveness of adaptation and support;

(iv) Reviewing progress towards the global goal on adaptation;

(b) The global stocktake can recognize and assess overall adaptation efforts and support, and considers progress towards the global goal on adaptation, but also focuses on future action by enhancing action and support in the light of the global goal on adaptation and Article 2, paragraph 1(b), of the Paris Agreement and informs the updating of adaptation communications;

(c) The global stocktake should be a tool to evaluate progress towards meeting the global temperature goal of limiting warming to well below 2 °C and preferably below

1.5 °C. If those goals are not achieved, the cost of adaptation will increase, even beyond the reach of many developing countries, who are already struggling to adapt;

(d) The adaptation communication could be an input to the global stocktake and work should identify the types of information that are most useful for the purpose of the stocktake;

(e) The aggregated information from the adaptation communications/a-NDCs reported through the transparency framework is an essential input to, and should provide a 'snapshot' for, the global stocktake;

(f) Reporting requirements should be expanded so that the adaptation communications complement the global stocktake;

(g) The global stocktake should draw on adaptation communications to facilitate learning, enhance visibility and recognize efforts. While information requirements should enable a qualitative perspective on the collective status of adaptation efforts, they should not be designed to compare Parties' adaptation information;

(h) Based on financial information, the assessment of the adequacy of support in the global stocktake is also a follow-up to the adaptation communication;

(i) The relationship between the adaptation communication and the global stocktake is outlined in Article 7, paragraph 14, of the Paris Agreement, but more information is needed about the form and process of the global stocktake. Work should first focus on elements, and the specific relationship between the adaptation communication and the global stocktake could be decided on later;

(j) For an efficient discussion on the types of adaptation communication, common elements for the global stocktake need to be discussed;

(k) Adaptation communications will help to recognize the efforts of developing countries and take stock of support provided, taking into account the needs of developing country Parties, especially those that are particularly vulnerable;

(l) The information needs of the global stocktake and reporting via NCs or NAPs are well matched. National information needs could be an input to the global stocktake, but reporting these would increase the time and resources needed for the global stocktake and would create an additional burden on developing countries;

(m) As Parties are not asked to report on adaptation effectiveness or support provided, it will be difficult to use existing reporting to develop a robust global stocktake;

(n) For adaptation, there is less experience of international follow-up for adaptation efforts and of metrics to facilitate aggregate assessment;

(o) There are specific links between possible types of information and the global stocktake were also outlined, namely that information on:

(i) Impacts, vulnerabilities and risks contributes to understanding global vulnerabilities under different temperature scenarios and assessing progress towards the global goal on adaptation and reducing vulnerability (Article 7, paragraph 14(d), of the Paris Agreement);

(ii) Adaptation priorities, plans, programmes and actions for implementation contributes to work under Article 7, paragraph 14(c) and (d), of the Paris Agreement and towards Article 2, paragraph 1, of the Paris Agreement by identifying if action is adequate in relation to the global temperature goals;

(iii) Adaptation needs and costs from developing countries contributes to work under Article 7, paragraph 14(c), of the Paris Agreement to assess the adequacy of adaptation support;

(iv) The indicative level of support to be provided by developed countries contributes to work under Article 7, paragraph 14(c), of the Paris Agreement by helping to assess how financial pledges compare to needs. Developed countries must report information on indicative adaptation support for the assessment of the adequacy of support provided against needs in the global stocktake;

(v) Adaptation efforts for recognition could be part of the equity and ambition discussion from an adaptation/finance point of view. Developing countries finance adaptation from their domestic spending, and the global stocktake would recognize such efforts;

(p) Other inputs could be compilations of efforts to be recognized, the synthesis and analysis of adaptation communications from the registry, IPCC reports, outputs of the transparency framework and inputs from non-state actors on transboundary efforts.

45. Regarding the **linkage between adaptation communications and the transparency framework under the Paris Agreement**, the submissions suggested that:

(a) The transparency framework will help to understand progress, share experience and lessons learned in the spirit of cooperation, and enhance action and support. As such, it will provide, together with the adaptation communication, a framework for reporting information on impacts and adaptation under the Paris Agreement;

(b) Article 13, paragraph 8, of the Paris Agreement refers to Article 7 and asks Parties to provide information on adaptation and impacts. This can be the basis of or submitted as the adaptation communication;

(c) The biennial communication under the transparency framework could be the vehicle, and Parties could identify the chapter on impacts and adaptation in their biennial communication as their adaptation communication;

(d) The Paris Agreement is not clear about the link. The transparency framework aims to, inter alia, understand actions, including those under Article 7. But reporting on adaptation is not mandatory under Article 13, paragraph 8. Adaptation communications could be forward-looking and reporting under Article 13, paragraph 8, backward-looking;

(e) Guidance on adaptation communications should complement work on APA item 5, “Modalities, procedures and guidelines for the transparency framework for action and support referred to in Article 13 of the Paris Agreement”, and could benefit from close alignment with and updates on that item;

(f) Work should be informed by possible elements of guidelines for reporting on information on impacts and adaptation under Article 7 (Article 13, paragraph 8). It was suggested to include, in those guidelines, information on:

(i) The expected impacts of climate change;

(ii) Risks and vulnerability;

(iii) Action taken to plan for and adapt to climate change;

(iv) Cooperation on enhancing adaptation.

46. On the **linkage between adaptation communications and the public registry referred to in Article 7, paragraph 12, of the Paris Agreement**, the submissions highlighted that:

- (a) The registry:
    - (i) Will be important for international follow-up on adaptation communications; centralizing priorities, needs, plans and actions; facilitating international collaboration; and identifying trends and synergies towards the global goal on adaptation. It could be informed by the categories of information included in the adaptation communications;
    - (ii) Should contribute to enhancing communication on adaptation and support;
    - (iii) Could be structured by developing a table or a site in the registry based on the elements agreed for adaptation communications. Links from the registry to corresponding information in different vehicles could help to find and use information. This will help avoid communication burdens as no new templates are needed;
    - (iv) Should receive and register NAPs, including information on activities, projects, targets, objectives and goals on adaptation;
    - (v) Could be developed by evolving NAP Central into a national adaptation communication registry;
    - (vi) Is separate from the mitigation registry because mitigation and adaptation actions, while linked, involve different technologies, planning horizons and life cycles. A joint registry would link adaptation to the mitigation cycle, which would not reflect implementation realities and would create an undue reporting burden;
  - (b) When submitting an adaptation communication, it should be delineated clearly and written in a format that allows it to be recorded in the registry.
47. Regarding **linkages with processes outside the Convention**, the submissions suggested that adaptation communications should be linked with other international aims such as the Sustainable Development Goals or the Sendai Framework for Disaster Risk Reduction, regional policies and national frameworks.

## VI. Vehicles for an adaptation communication

### A. General views related to vehicles

48. It was emphasized that Article 7, paragraphs 10 and 11, of the Paris Agreement stipulates that the adaptation communication shall be, as appropriate, submitted and updated periodically, as a component of or in conjunction with other communications or documents, including a NAP, an NDC as referred to in Article 4, paragraph 2, of the Paris Agreement, and/or an NC.
49. The submissions highlighted that, under the Paris Agreement, the choice of the vehicle is up to the Party, and that each Party can choose the most effective and convenient one for them. Some might develop stand-alone adaptation communications, while others might include an adaptation component in existing vehicles (NAPs, NDCs or NCs).
50. There are already adaptation-specific guidelines for reporting on all the elements under discussion.
51. Other communications submitted to the UNFCCC that include information on climate change adaptation could be used.
52. It was emphasized that the guidance should ensure that:

- (a) There is no duplication of existing efforts, since that would place an undue burden on countries with limited capacity to report;
- (b) Existing vehicles to communicate adaptation information should be used and built on. There are already multiple vehicles for reporting on adaptation actions, needs and progress, including NAPs and NCs, and adaptation communications need to build on and add value to those;
- (c) Existing communications or documents (NAPs, national adaptation programmes of action and NDCs) need streamlining in order to avoid duplication and increased burden;
- (d) There is consistency irrespective of the reporting vehicle chosen;
- (e) There is coherence between the adaptation communication and other communications or documents, since they can serve as a basis for the adaptation communication and help avoid duplication of efforts;
- (f) The scope, frequency and level of detail of reporting are addressed.
53. It may help to consider a common set of guidelines to be used across all vehicles.
54. While existing guidelines for NCs, biennial reports, biennial update reports and NAPs are differentiated, guidance in relation to adaptation communications should be common to all Parties.
55. Guidance developed under this item should not change existing guidelines but should build on them without duplicating or adding reporting/communication burdens.
56. Parties do not have to wait for guidance on the adaptation communication to start communicating their efforts in adaptation; they can use their NCs or the NAP process.
57. The relationship with existing guidance needs to be clarified. The reporting guidelines for NCs and NAPs could serve as a foundation. These and the reporting guidelines under Articles 7 and 13 of the Paris Agreement can help to develop the guidance in relation to adaptation communications.
58. For Parties with a NAP process, the adaptation component of their NDCs is a potent instrument for highlighting the plans, priorities, needs and actions that they intend to carry out in the upcoming period. The adaptation component would be the adaptation communication, the NAP would be the national instrument to guide implementation and the NC would be the vehicle for reporting on the implementation carried out.
59. Parties can use existing instruments to develop, provide input to and even report progress on their adaptation communications.
60. The relationship will vary according to the choice each Party makes. Each vehicle has its own nature and purpose. Regardless of vehicle, common elements of guidance in relation to the adaptation communication will provide a level playing field for all Parties when submitting or updating information.

## **B. Views related to specific vehicles**

61. Regarding the **relationship with NAPs**, the submissions highlighted that:
- (a) There are currently no guidelines for adaptation communications in relation to the guidelines for NAPs;
- (b) The NAP, a national instrument to assist Parties in adaptation planning processes, could be a basis for defining priorities to be included in adaptation

communications. Adaptation communications could be used to communicate the current and upcoming implementation of the plans included in NAPs;

(c) NAPs provide a platform for the reporting of most adaptation strategies, programmes, initiatives and policy measures and can form the basis for reporting through adaptation communications. The initial guidelines for the formulation of NAPs<sup>5</sup> may help identify information to be included in adaptation communications (e.g. assessments of vulnerabilities and impacts; plans, strategies, planned actions and expected results; progress, effectiveness and gaps; and updating NAPs);

(d) In order to avoid burden and duplication and to enhance communication, each country that produces a NAP and decides to produce an adaptation communication will decide how to avoid duplication. The adaptation communication could be an executive summary of in-depth plans or the planning process. This would avoid duplication while reaching broader audiences;

(e) The NAP process will help define criteria for prioritizing implementation.

62. Regarding the **relationship with NDCs**, Parties expressed the following views:

(a) Almost all Parties reported adaptation information in their NCs, and more than 75 per cent of countries included information on adaptation responses in their INDCs; the communication of priorities, needs, plans and actions in the INDCs helped raise political support for adaptation;

(b) An a-NDC should be the main vehicle for articulating forward-looking contributions. Article 2, paragraph 1(b), and Article 7, paragraphs 1 and 4, of the Paris Agreement contain elements that highlight the prominence of the NDC as a vehicle;

(c) Currently no guidelines exist for preparing an a-NDC;

(d) The a-NDCs are an appropriate vehicle for communicating adaptation action in a manner that is not isolated from mitigation;

(e) The advantages of presenting the adaptation communication as a component of an a-NDC include:

(i) High-level political support at the national and international levels;

(ii) Parity and articulation with mitigation action, considering that more mitigation implies less adaptation effort;

(f) The adaptation communication could be a separate summary of all adaptation actions, programmes and activities included in the NDC submitted under Article 4, paragraph 2, of the Paris Agreement and should take into account the information in the existing NDC;

(g) The adaptation communication should elaborate on adaptation elements included in the NDC;

(h) At this point, the adaptation communication should not be detached from the NDC, but the first review and consideration of how to harmonize mitigation and adaptation could enable delineating the relationship between the adaptation communication and the NDC;

(i) The NDC document could provide, in an annex, a summary on progress in the NAP process and could outline co-benefits;

---

<sup>5</sup> Annex to decision 5/CP.17.

(j) At the moment there are no guidelines for NDCs, and concerns were expressed about how adaptation can be taken up in an instrument with a reporting obligation that requires greater ambition in each subsequent report;

(k) Articles 3 and 7, paragraph 11, of the Paris Agreement provide the framework for using NDCs to communicate adaptation undertakings, while providing flexibility to use other vehicles (e.g. NAPs or NCs);

(l) If a Party submits/updates its adaptation communication as a component of or in conjunction with its NDC, it should clearly delineate the adaptation communication to avoid obscuring the mitigation contribution and ensure that adaptation efforts are clearly recognizable;

(m) Article 7, paragraph 11, of the Paris Agreement does not exclusively attach adaptation communications to NDCs, and the vehicles are not mutually exclusive.

63. Regarding the **relationship with NCs**, it was suggested that:

(a) The system of NCs should be used to build a system of adaptation communications; the guidelines for NCs may help to identify information for inclusion in adaptation communications, and could be strengthened;

(b) NCs serve multiple functions, including reporting on vulnerability assessments, the progress of adaptation measures, the NAP process and the adaptation component of NDCs. NCs could provide input and serve as a basis for identifying the needs to be reported in adaptation communications;

(c) As the main reporting instrument for adaptation measures, NCs are also a key input to the transparency framework;

(d) NCs will continue to be used for reporting information on action and progress until Parties are in a position to submit that information biennially (as envisaged in decision 1/CP.21, paragraph 90);

(e) Parties should avoid duplicating their NCs when preparing their adaptation communications;

(f) Many adaptation elements of the NCs overlap with elements of the NAP process. When submitted with the NC, the adaptation communication could be a summary of national adaptation planning or the NAP;

(g) The provisions for vulnerability assessments in NCs can be reviewed to be compatible with the production and submission of NAPs;

(h) NCs could serve as a means for the recognition of the efforts of developing countries.

64. Regarding **other possible vehicles**, the submissions suggested that:

(a) An adaptation section could be created in the biennial update reports, which would be reviewed regularly and could include priorities, planning for the short, medium and long terms, implementation and support needs, and challenges;

(b) The provisions of Article 4, paragraph 1(b) and (e), of the Convention could be helpful for identifying information for inclusion in adaptation communications.

## C. Time frames

65. Regarding the frequency of submitting and updating adaptation communications, the submissions contained the following views:

(a) Frequency should be country-driven and not impose additional burdens. NCs and NDCs could be used as references, but the choice of vehicle is up to each Party;

(b) While the frequency may vary, Parties should update their adaptation communication together with their mitigation actions (every five years), in particular if they submit it as part of an NDC. This will allow for enhancing the implementation of adaptation and measuring overall progress with regard to the commitments of the Paris Agreement, and will help with following up on adaptation efforts and support under the global stocktake and the transparency framework;

(c) Articles 4, paragraph 9, and 7, paragraph 11, of the Paris Agreement stipulate that NDCs are to be communicated every five years. The information contained in a-NDCs needs to be communicated prior to the publication of a synthesis report to be prepared by the secretariat in order to understand the envisaged state of adaptation action and support;

(d) Given the reporting overload on Parties included in Annex I to the Convention, the guidance should simplify the reporting requirements and increase the periods for submission. Information on adaptation issues, opportunities and measures might not need to be updated frequently (e.g. not more than every six years), meaning that an adaptation communication could be a part of every third biennial report.

## VII. Flexibilities regarding adaptation communications

66. The submissions emphasized the importance of flexibility and highlighted various general aspects of it, including that:

(a) Flexibility is needed because impacts and adaptation options are different in different nations, regions, local communities and/or sectors;

(b) Guidance should not be prescriptive or mandatory, nor should it seek to compare or harmonize Parties' adaptation actions;

(c) Flexibility in reporting on implementation will help to build capacity;

(d) Adaptation communications should be flexible and allow for improvement.

### A. Flexibilities stipulated in the Paris Agreement

67. The submissions emphasized that **the Paris Agreement defines a set of flexibilities** for adaptation communications:

(a) Article 7, paragraphs 10 and 11, stipulates that adaptation communications are not mandatory, and provides flexibility on the form of information to be included, on the frequency of submitting and updating the information, and on the choice of vehicle for the communication;

(b) Flexibility is emphasized by the modal verb "should" and the term "as appropriate" in Article 7, paragraph 10;

(c) The flexibility expressed in the Paris Agreement reflects the localized, context-specific nature of adaptation, and that countries and communities experience impacts differently and need to consider the responses that work best for them;

(d) The flexibility also reflects the capacity constraints and national circumstances of developing countries.

68. The submissions outlined a number of **implications of the flexibility defined by the Paris Agreement**, including that:



- (a) It is vital to develop flexible guidance that helps Parties adopt approaches appropriate to their national situations;
- (b) Parties should not be forced to undertake specific reporting;
- (c) Guidelines for adaptation communications should be built on the flexibility recognized by the Paris Agreement, in particular in terms of the elements and frequency of the reporting, and the guidance cannot modify flexibilities stipulated by the Paris Agreement;
- (d) Guidance should be high-level and general in order to preserve the flexibility provided by the Paris Agreement;
- (e) Parties willing to report their adaptation strategies as a component of or in conjunction with other communications or documents are encouraged to use information best fits their national circumstances;
- (f) Adaptation planning processes and adaptation communications are different obligations under Article 7, paragraphs 9 and 10, of the Paris Agreement. This provides flexibility to Parties in communicating their strategies, considering that adaptation actions vary significantly and their formulation depends on an adequate and timely means of implementation.

## B. Ensuring flexibility

69. The submissions highlighted that **certain groups of Parties require additional flexibilities**. It was emphasized that adaptation communications must fit the national circumstances of countries that are particularly vulnerable and have the least capacity in order to be a vehicle for enhancing adaptation in those countries. Guidelines must therefore be flexible in order to take such circumstances into account.

70. The submissions reflected on the **flexibility of the content** of adaptation communications:

- (a) The guidance on content must be non-prescriptive to maintain flexibility;
- (b) Article 7, paragraph 10, of the Paris Agreement highlights possible content and/or topics for adaptation communications (i.e. priorities, implementation and support needs, plans and actions), but the language “may include” used in that Article offers flexibility.

71. Regarding the **flexibility of the vehicle** (see chapter VI above) **for the adaptation communication**, the submissions noted that:

- (a) Each Party must have the freedom to choose the vehicle of communication fitting to its national circumstances, and any guidance prepared by the APA cannot modify this flexibility and should not aim for uniformity of vehicles;
- (b) Flexibility is expressed by the multiple vehicles identified in the Paris Agreement (as a component of or in conjunction with other communications or documents, including NAPs, NDCs and NCs), but some may choose another vehicle or submit a stand-alone communication;
- (c) It would be useful to discuss the advantages and disadvantages of each possible vehicle;
- (d) Flexibility can be achieved by having guidance that reflects the voluntary nature of national adaptation plans and programmes and of communication vehicles;

(e) The flexibility of vehicles is critical but it should not hinder clarity or national and/or international follow-up.

72. Regarding the **flexibility of the frequency of communication**, it was suggested that:

(a) A Party that wishes to submit every few years could submit its adaptation communication in conjunction with its NC or NDC. While for others, including those that submit a stand-alone adaptation communication, the periodicity could be more frequent or irregular;

(b) Given the flexibility regarding the vehicle provided for in Article 7, paragraph 11, of the Paris Agreement, the periodicity of the adaptation communication is determined by the periodicity of the vehicle;

(c) One Party stated that it reviews and updates its adaptation priorities on a yearly basis but may choose to communicate thereon at different intervals.

### C. Avoiding additional burdens

73. The Paris Agreement stipulates that adaptation communications are to be communicated without creating any additional burden for developing country Parties, and that their challenges and constraints should be taken into consideration.

74. The limited financial, technical and human capacity of developing countries, in particular the least developed countries (LDCs) and small island developing states (SIDS), to cope with the increasing impacts of climate change and to report on actions was highlighted. The resources required to identify and collate relevant information can be beyond Parties' national capacities. Requesting the LDCs and SIDS to provide an analysis of the adequacy and effectiveness of adaptation would be imposing an additional reporting burden.

75. Decision 1/CP.21, paragraph 90, states that information shall be submitted biennially, except by the LDCs and SIDS.

76. The submissions identified **ways of avoiding additional burdens**, including the following:

(a) The choice of vehicle helps to minimize burden on the most vulnerable and low-capacity countries;

(b) Reporting via existing reporting tools used for communicating information on adaptation in order to avoid duplication. Adaptation communications could use information already contained in NCs, national adaptation programmes of action and INDCs, or reporting could be done through other existing tools;

(c) Guidance should be non-prescriptive and could be based on common categories of information and additional desirable ones. This would help Parties to present information that is focused and concise and that often already exists;

(d) Guidance should enable Parties to meet multiple objectives without submitting multiple reports;

(e) In accordance with Article 7, paragraph 13, of the Paris Agreement, the preparation, submission, and updating of an adaptation communication should be facilitated by financial and technical support where required, including with the aim of linking existing reporting to comparable and robust indicators for adaptation;

(f) The application of technological tools.

## VIII. Additional information

77. In their submissions, Parties highlighted national adaptation efforts such as:

(a) A climate resilience and adaptation strategy, which recognizes the role of stakeholders, mainstreams adaptation, emphasizes institutional capacity, highlights support provided regionally, defines guiding principles and outlines a vision;

(b) An advisory board on climate change and disaster risk reduction and a climate change and disaster risk reduction policy;

(c) Launching a NAP process and establishing a coordination mechanism for the implementation of NDCs, updating vulnerability profiles, screening development efforts for climate risk, and preparing a Climate Change Commission Act;

(d) Launching a NAP process, creating a climate change cabinet, involving stakeholders and local governments, undertaking adaptation projects, and establishing a platform for monitoring adaptation, an observatory for land degradation and desertification, and mechanisms for disaster risk reduction;

(e) Launching a NAP process covering 11 sectors, and developing approaches for assessing vulnerability at the biome, state and local scales in order to develop policies;

(f) Designing sector- and territory-specific NAPs on agriculture and coastal and urban areas, and highlighting actions already undertaken in many sectors and goals to be accomplished by 2030.

78. A number of submissions highlighted national vulnerabilities, including:

(a) Susceptibility of coasts and low-lying areas to sea level change, with impacts on tourism, fisheries and human settlements;

(b) Dependence on agriculture and the associated threats to national food security and food production systems from changing rainfall patterns as well as drought and floods;

(c) Impacts on freshwater resources, terrestrial and inland water systems, industry and infrastructure, renewable energy and human health.

79. In terms of adaptation support, one Party stressed that it will provide adaptation support to vulnerable developing countries regardless of how they communicate on adaptation, as it will rely on joint discussions with developing countries on adaptation support.

80. A recent technical and scientific conference on adaptation metrics was highlighted and summarized. Conference participants considered adaptation metrics essential to enhancing the appeal of adaptation projects, securing funding (including private finance), promoting transparency and accountability, monitoring and tracking actions, facilitating planning, increasing efficiency and effectiveness, and supporting the NAP process. The conference reflected the perspectives of financial actors, resilience, sectors and the Sustainable Development Goals, and outlined specific metrics relevant to each perspective. Participants highlighted the methodological challenges related to metrics, the importance of balancing comparability and contextualization as well as the needs of donors and governments, the need for adequate programmes at all levels, and the strong positive dynamic in the development of adaptation metrics.