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## **Ad Hoc Working Group on the Paris Agreement**

**Second part of the first session**

**Marrakech, 7–14 November 2016**

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**

### **Parties' views regarding 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**

#### **Information document by the secretariat**

1. The Ad Hoc Working Group on the Paris Agreement (APA), at its first session, invited Parties to submit, by 30 September 2016, their views on agenda item 4, in order to focus the work of the APA.<sup>1</sup>
2. The APA requested the secretariat to compile, by 7 October 2016, the submissions of Parties' views referred to in paragraph 1 above into information documents, with views on each item of the APA agenda to be compiled in a separate information document.
3. The secretariat has received 13 such submissions as at 5 October 2016. In accordance with established practice, these submissions are attached and reproduced\* in the languages in which they were received and without formal editing.<sup>2</sup>

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<sup>1</sup> FCCC/APA/2016/2, paragraph 22.

\* These submissions have been electronically imported in order to make them available on electronic systems, including the World Wide Web. The secretariat has made every effort to ensure the correct reproduction of the texts as submitted.

<sup>2</sup> Also available at <<http://unfccc.int/5900>>.

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Paper no. 1: Argentina on behalf of Argentina, Brazil and Uruguay

## Submission on adaptation communication Argentina – Brazil – Uruguay

Argentina, Brazil and Uruguay welcome the opportunity to submit views on adaptation, in particular on APA 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".

### 1. Framework of principles and the importance of adaptation

Adaptation is a key component of the United Nations Framework Convention on Climate Change (UNFCCC) and its Paris Agreement. Adaptation is a global challenge for all, which affects especially those developing country Parties that are particularly vulnerable to the adverse effects of climate change, as underlined in article 7.2 of the Paris Agreement. Adaptation is a matter of survival for people and ecosystems that need to adapt to the adverse effects of climate change that we are already facing.

The Intergovernmental Panel on Climate Change (IPCC) has defined adaptation as "the process of adjustment to actual or expected climate and its effects. In human systems, adaptation seeks to moderate harm or exploit beneficial opportunities. In natural systems, human intervention may facilitate adjustment to expected climate and its effects" (IPCC AR5, 2013).

Adaptation is an integral part of the objective of the United Nations Framework Convention on Climate Change (UNFCCC) and also of the Paris Agreement, as highlighted in its purpose. In both cases, under the Convention and the Paris Agreement, adaptation is closely related to mitigation actions. Article 2 of the Convention expresses that the stabilization of greenhouse gases concentrations in the atmosphere at a level that would prevent dangerous anthropogenic interference with the climate system should be achieved within a time frame sufficient to allow ecosystems to adapt naturally to climate change to ensure that food production is not threatened and to enable economic development to proceed in a sustainable manner.

The Paris Agreement affirms, in its Article 2, that, in enhancing the implementation of the Convention, it aims to strengthen global response to the threat of climate change, in the context of sustainable development and efforts to eradicate poverty, including holding the increase in the global temperature and increasing the ability to adapt to the adverse impacts of climate change and foster climate resilience.

Furthermore, as recognized both in the Convention and in the Paris Agreement, the implementation of our efforts and actions both in mitigation and adaptation should reflect equity and the principle of common but differentiated responsibilities and respective capabilities.

Developing countries have consistently argued for political parity between mitigation and adaptation, on the understanding that, even if the international community develops timely ambitious mitigation actions, adaptation will still be necessary as a result of the adverse effects of climate change already reflected in our countries including the ecological, social and economic systems.

We emphasize the vulnerability of our countries to the adverse effects of climate change (see additional submission that provides information on those) and the need to access to the means of implementation required in order to face our challenges and increase our adaptive capacity and resilience.

It is fundamental to sustain and protect the delicate balance achieved in Paris between the recognition of the national/local nature of adaptation and at the same time to acknowledge the urgency of acting at the international level. This urgency is based on scientific data provided by the best available science, in particular the IPCC Reports.

The national/local nature of adaptation is deeply related to the diversity of national circumstances, including geographic, economic, social, political and ecological systems. Adaptation action must necessarily be country---driven. We believe that adaptation communications shall be based on that diversity and for that reason, any compilation should have a qualitative perspective taking into account national development priorities and respective capabilities, particularly poverty and hunger eradication priorities in the context of achieving sustainable development.

Under articles 7.9 and 7.10 of the Paris Agreement is possible to identify not only the relation, but also the different specificities between adaptation planning processes and the communication of adaptation actions. National Adaptation Plans (NAPs) and National Adaptation Programs of Action (NAPA) are important tools that help countries to conduct adaptation planning process according to their national conditions and priorities.

We see adaptation planning processes, as well as the communication, as key instruments to catalyze action. The implementation of actions that fall from those planning processes – with the adequate support from developed country Parties --- will ensure the necessary adaptation response, in the context of the temperature goal, and contribute to sustainable development and resilience of societies and ecosystems. We endorse the importance to reinforce the relation between adaptation planning processes and means of implementation through the different channels recognized under the Convention and the Paris Agreement.

## 2. Adaptation communication

As specified in article 7.9 of the Paris Agreement, Parties shall, as appropriate, engage in adaptation planning processes and the implementation of actions. This effort may include the formulation and implementation of national adaptation plans; the assessment of climate change impacts and vulnerability, with a view to formulating nationally determined prioritized actions, taking into account vulnerable people, places and ecosystems; monitoring and evaluating and learning from adaptation plans, policies, programmes and actions; and building the resilience of socioeconomic and ecological systems, including through economic diversification and sustainable management of natural resources, among others.

The value added of an adaptation communication is to inform clearly, concisely and effectively Parties' adaptation strategies, including priorities, implementation and support needs, plans and actions, as outlined in Article 7, paragraph 10 of the Paris Agreement, without creating any additional burden for developing country Parties.

In adaptation communications, Parties could state their long---term vision or goals for national adaptation and articulate how those can contribute to the global goal on adaptation referred to in Article 7.1. Likewise, Parties are encouraged to highlight how their ongoing or planned actions on adaptation could respond to the temperature goal and contribute to sustainable development at the national level.

Adaptation communications could also serve as a source of information for the recognition of adaptation efforts of developing countries, subject to the decision on modalities to be adopted by the CMA, as per paragraph 3 of Article 7.

Even though we recognize that engaging in adaptation planning processes and submitting an adaptation communication are two different obligations under Article 7 (paragraphs 9 and 10 respectively), we also emphasize that the Paris Agreement provides for flexibility to Parties in communicating their strategies, taking into account adaptation actions vary significantly and their formulation depend on the provision of adequate and timely means of implementation.

The Paris Agreement already provides flexibility in terms of the vehicle available to Parties to submit or update adaptation communications. Parties willing to inform their adaptation strategies as a component of or in conjunction with other communication or documents are encouraged to use whichever information best fits their rationale for doing so.

We emphasize that guidance for the adaptation communication should not be prescriptive or mandatory, nor should it seek to provide for comparisons or harmonization of Parties' actions on adaptation. But it can support a minimum understanding of impacts, exposure and vulnerability at local, national and regional scales, considering the diversity of territories and national capabilities. We also recognize that the adaptation communication may serve the purpose, among others, to provide information in relation to the aggregated efforts of Parties in contributing to the global goal on adaptation to be considered within the Global Stocktake.

We propose a non-prescriptive list of elements which could be included, inter alia, and clearly identified in adaptation communications, regardless of the variety of channels mentioned under article 7.11 of the Paris Agreement, and without creating any additional burden to developing country Parties.

1. Ways in which the country is contributing to the global goal on adaptation stated in article 7.1 of the Paris Agreement (for developed and developing country Parties in terms of adaptation planning and implementation; for developed country Parties also in terms of support provided for adaptation action in developing country Parties);
2. National circumstances;
3. Legal framework and institutional arrangements at national, and subnational level as appropriate;
4. Policies, strategies, programmes and plans as basis for adaptation actions at the national and subnational level as appropriate;
5. Adaptation measures and/or actions planned or under implementation;
6. Adaptation needs and costs (in relation to action and with assistance under country request);
7. Impact vulnerability, and risks assessments;
8. Financial costs of actions already delivered or in implementation;
9. Means of implementation required to further develop adaptation at national, and subnational; level as appropriate;
10. Losses and/or damages due to climate related impacts;
11. Monitoring and evaluation of adaptation;
12. Cooperative dimension at the national, regional and international level: arrangements/organizations/nets where countries share information, good practices, experiences and lessons learned;
13. Relation between adaptation and global mitigation actions in the context of temperature goal.

## Further views related to adaptation communications

*Provided in conjunction with the joint submission by Argentina, Brazil and Uruguay on the matter*

### 1. National Adaptation Policies and Plans

#### ARGENTINA

As part of the active policies on adaptation to climate change, various steps have been taken since the signing of the Paris Agreement, which mean a qualitative leap in the approach to the subject. Indeed, the creation of a Climate Change Cabinet (by Decree No. 891/2016), coordinated by the Chief of the Cabinet of Ministers, has put climate change on top of the agenda regarding decision-making at national level.

This issue is no longer just a matter of the Environmental area. Today it has given place to proactive actions of other ministerial bodies. Thus, Ministries such as Transport, Energy and Agribusiness, among others, have become active participants in the development of policies related to climate change.

In the same vein, coordination mechanisms with subnational governments through the “Bureau of Climate Change” of the Federal Environment Council (COFEMA) allow an active interaction between the National Government and the Provinces which also allows a common vision of the problem, creating scenarios of cooperation.

Various governing bodies have made joint efforts with numerous sectors of the civil society, comprising non-governmental organizations, chambers of commerce, Academia, and labor organizations, among others, that became enabled to make different contributions to the subject through an open process that allows participation of all stakeholders.

As part of this National Cabinet, in order to ensure the achievement of the desired objectives, various sector-based bureau or “working groups” are being implemented. Within the Bureau on Adaptation, the process to develop the National Adaptation Plan has already begun. Recent work in this field has made a significant progress in identifying priority lines of action that respond to emerging needs based on studies conducted within the framework of the Third National Communication that Argentina presented during the COP 21.

Argentina considers that it is necessary to have a National Adaptation Plan that includes, inter alia, disaster risk reduction, as well as different visions and geographical and social heterogeneity. Indeed, emphasizing the complexity and diversity of our country, a systemic approach to the discussion or action concerning the environment is required.

Furthermore, and on the basis of this systemic perspective, several tools that will be useful for various levels of government are currently under development. An example of this is the preparation of an interactive platform that will allow us to see the development of adaptation measures at provincial and national adaptation to climate change scenarios and extreme weather events through the identification and analysis of vulnerabilities in the territory.

An example of this is the preparation of an interactive visualization platform that will develop measures of local, provincial and national adaptation to climate change scenarios and extreme weather events through the identification and analysis of vulnerabilities in the territory of Argentina.

Another aspect of great importance for state policies that will have an effective territorial impact, is to strengthen capacities at the municipal level. To do this, a methodological guide to support local governments in the design and implementation of adaptation plans is being developed. This will enable local authorities to know their vulnerabilities, their resources and capabilities concerning to the impacts of climate change.

In order to strengthen the activities related to different focal areas through synergic mechanisms between different sources of funding areas, but with financial and administrative hub in the Adaptation Fund, two projects related to this fund are being developed:

- Adaptation and resilience of family farming in north-eastern Argentina to the impact and variability of climate change. This project's main objectives are to increase the adaptive capacity and resilience of small family farmers, strengthen monitoring systems and build institutional capacity for decision-making.
- Increasing Climate Resilience and Enhancing Sustainable Land Management in the Southwest of the Province of Buenos Aires. The general objective is to reduce vulnerability to desertification processes induced by ecosystems' climate change in system areas, agricultural and livestock in the southwest of the Province of Buenos Aires and, likewise, create a strengthened and enabling institutional framework to meet the negative impacts of climate change.

Moreover, in the context of the actions taken by the Ministry of Environment and Sustainable Development, and in close collaboration between the areas of Climate and Land Degradation Change, it has institutionalized the National Observatory of Land Degradation and Desertification, based on a network of scientific-technological and political organizations that provide information and knowledge and at the same time are users of information. For viewing, interactive maps, publications and an online repository of geospatial data are developed.

The central objective of the Observatory is to provide information on the status, trends and risk of land degradation and desertification to develop proposals and promote prevention, control and reduction of risk in the context of climate change that has imposed additional pressure to processes of loss of productivity and profitability of land.

In line with the work being done in terms of strengthening the processes of adaptation, the Federal Emergency System is in the process of revitalizing, which gathers the civil protection services of nation and provinces with the aim of generating mechanisms of disaster risk reduction in the territory, with a clear direction towards prevention.

## BRAZIL

Since 2013, Brazil has been making efforts to develop its national adaptation agenda. Brazil's National Adaptation Plan<sup>1</sup> (NAP) launched in May 2016 is one of the main results of this effort. The Plan was developed by the Federal Government in close collaboration with civil society, the private sector and state governments. The Plan identifies current and future climate change impacts in Brazil and vulnerability associated with those impacts. It establishes actions and policies to promote adaptation in 11 different sectors of the economy, society and infrastructure.

The objective of the Plan is to address and promote the reduction of climatic risk in the country, avoiding economic and social losses, and benefiting from opportunities. It encompasses measures and tools to promote the adaptation of environmental, human, productive and infrastructure systems.

The plan observes the following principles: 1) Intergovernmental coordination (federal, states, municipalities); 2) Intergovernmental coordination; 3) Sectoral, thematic and territorial approach; 4) Social, cultural, economic and regional approaches; 5) Co-benefits between adaptation and mitigation; 6) Governmental planning encompassing adaptation to climate change; 7) Scientific, technical and traditional knowledge-based adaptation actions; 8) Promotion of ecosystem-based adaptation (AbE) and its incorporation into public policies; and the 8) Promotion of regional cooperation.

<sup>1</sup> Available in Portuguese at <http://www.mma.gov.br/clima/adaptacao/plano-nacional-de-adaptacao>.

Along with the elaboration of Brazil's NAP, the government is developing a set of studies, methodologies, and tools, in collaboration with different scientific institutions, for the comprehension and diagnosis of exposition and vulnerability to climate change in Brazil. Different territorial scales (biomes, states and local scale) are being evaluated through different methodologies, contributing to a better understanding of impacts and vulnerability, and to the definition of measures and politics that can guide, in the future, the increment of adaptation capacity and vulnerability reduction in the country.

## URUGUAY

Uruguay's 2009 National Climate Change Response Plan states that adaptation is a strategic priority for the country. This is essential to be able to effectively respond to climate change and increased climate variability, especially, to reduce risks and losses and damages from increasingly intense climate adverse effects.

Uruguay is highly sensitive to droughts, it has low-lying coastal areas, as well as areas which are prone to climate related disasters, such as floods. Adaptation becomes particularly important when it comes to food production, which is a core activity for the domestic economy and to ensure global food security and is highly sensitive to climate.

Within this context, Uruguay has, through the implementation of public policies, been addressing adaptation to climate change and variability and climate risk management for different sectors, both at national and subnational levels of government by with domestic and external means of implementation. In sectors such as cattle farming, agriculture and energy there has been important progress in the implementation of specific adaptation measures.

This makes it possible to begin the design of sector/territorial-specific National Adaptation Plans (NAPs), such as agricultural, coastal and urban, to identify adaptation needs in the medium and long term, and allowing for the development and implementation of strategies and programs, within the planning and development frameworks of these sectors.

The main adaptation actions undertaken were:

- Energy mix diversification to reduce vulnerability and cost overruns of the power system in case of hydropower generation deficits.
- Development of climate index insurances and other financial instruments for risk reduction in the power sector.
- Design and implementation of adaptation measures in cattle production, including water sources, feed and rangeland management measures.
- Development of soil use and management plans to reduce erosion and preservation of organic matter in croplands.
- Resettlement of population living in urban areas vulnerable to floods, and land-use planning measures to reduce the risk of floods.
- Monitoring program and eradication campaigns for the *Aedes Aegypti* mosquito, strengthening of the National Immunization Program against diseases caused by climate sensitive vectors and other health communication and awareness raising activities.
- Development and strengthening of the National Protected Areas System, which contributes to the protection of climate change and variability vulnerable biodiversity and ecosystems.
- Restoration and maintenance of coastal ecosystems services that provide protection against extreme events and of ecosystems services that protect drinking water sources.
- Overhaul and maintenance of road infrastructure, especially in coastal/ flood sensitive areas, taking into account climate change and variability.
- Development of research and data collection programs and networks on the impacts and adaptation to climate change and variability.
- Development of information systems, climate services and monitoring programs, particularly for the environmental, agriculture and emergency sectors, and development of early warning systems, to support decision-making.
- Development, strengthening and decentralization of the National Emergency System.



- Strengthening of weather, climate and water services.
- Design and implementation of the National Climate Change Response Plan; the Metropolitan Climate Plan; Climate Change Adaptation and Development Project for the agriculture sector; Integrated Water Resources Management National Plan within the climate change and variability framework, Land---use Planning programs for vulnerable regions and Stormwater Management Plans; Emergency and Sudden---impact Disasters Response Protocol; identification of adaptation measures in the tourism sector and development of a National Adaptation Plan for the coastal sector.

Building on the experience and results of these undertakings, and incorporating new elements, by 2030 Uruguay expects to have accomplished the following adaptation actions, with the support of external means of implementation:

- Development and implementation of national, regional and sector---specific participatory climate change and variability adaptation plans, and incorporation of monitoring and reporting systems on adaptation and loss and damage.
- Development of new early warning systems and new hydrometeorological insurances, within the disaster risk reduction framework for the agricultural, coastal and health sectors, and for flood sensitive urban areas, infrastructure and other vulnerable regions.
- Strengthen climate risk management against floods, through the enhancement of vulnerable population resettlement processes and the implementation of new land--use planning measures. Moreover, with regard to drought management, identification of new water sources, promote the construction of associative works, such as large reservoirs to serve various users, and improve efficiency in water use.
- Improve the protection of surface and underground water sources, such as aquifer recharge areas, through the promotion of good drilling practices, point source and non---point sources pollution control and the implementation of conservation and restoration measures for gallery forests.
- Promote ecosystem-based adaptation, strengthening ecosystem and biodiversity conservation strategies.
- Design, adapt and maintain a resilient infrastructure, considering the impact of climate change and variability.
- Articulate and develop new integrated climate services and information systems, for continuous monitoring, risk mapping and loss and damage evaluation, by strengthening academic, monitoring and observation institutions, such as the Uruguayan Institute of Meteorology and the National Water Management Service.
- Build research, development and innovation capacities to enhance domestic response to climate change and variability.
- Enhance visibility of climate change adaptation measures within the allocations of the national budget, including the development of a national system of environmental indicators.
- Implement education, training and awareness programs that address climate change response needs.

## 2. Current and projected impacts related to climate change in Southeastern South America and Brazil

According to the Fifth Assessment Report (AR5) of the IPCC (Part B, Chapter 27 “Central and South America”) the Southeastern region of South America (SESA), including Argentina, Brazil and Uruguay, present the following climate and hydrological trends and projections:

-Significant trends in precipitation and temperature have been observed in South America (SA). In addition, changes in climate variability and in extreme events have severely affected the region. There are increasing trends in annual rainfall in SESA.

-Climate projections suggest increases in temperature, and increases or decreases in precipitation, while in SA rainfall varies geographically, most notably showing a reduction of –22% in northeast Brazil, and an increase of +25% in SESA. By 2100 projections show an increase in dry spells in tropical SA east of the Andes, and in warm days and nights in most of SA.

- Changes in streamflow and water availability have been observed and projected to continue in the future in SA, affecting already vulnerable regions. The Andean cryosphere is retreating, affecting the seasonal distribution of streamflows. Increasing runoffs in the La Plata River basin and decreasing ones in the Central Andes. Risk of water supply shortages will increase owing to precipitation reductions and evapotranspiration increases in semi---arid regions, thus affecting water supply for cities, hydropower generation and agriculture.

Also the IPCC signals that South and Central American region *“has multiple stressors on natural and human systems derived in part from significant land use changes and exacerbated by climate variability/climate change. Climate variability at various time scales has been affecting social and natural systems, and extremes in particular have affected large regions. In Central and South America, 613 climatological and hydro--meteorological extreme events occurred in the period 2000–2013, resulting in 13,883 fatalities, 53.8 million people affected, and economic losses of US\$52.3 billion<sup>2</sup>. Land is facing increasing pressure from competing uses such as cattle ranching, food production, and bioenergy. Two other important contrasting features characterize the region: having the biggest tropical forest of the planet on the one side, and possessing the largest potential for agricultural expansion and development during the next decades on the other. This is the case because the large countries of SA, especially, would have a major role in food and bioenergy production in the future, as long as policies toward adaptation to global climate change will be strategically designed. The region is already one of the top producers and user of bioenergy and this experience will serve as an example to other developing regions as well as developed regions.”*

AR5 also describes “observed and projected impacts and vulnerabilities” in major sectors in relation to climate change. Below is a summary of IPCC findings by key sectors in our region:

## Freshwater resources

- Changes in hydrological related conditions, being the most robust trend for major rivers found in the subbasins of La Plata River basin, showing a positive trend in streamflow in the second half of the 20<sup>th</sup> century at different sites<sup>3</sup>. Increasing trends in streamflows have also been found in the Patos Lagoon in southern Brazil<sup>4</sup> and Laguna Mar Chiquita and in the Santa Fe Province, both in Argentina, with ecological and erosive consequences<sup>5</sup>.

- Extratropical Andes face significant reductions<sup>6</sup> with effects compounded by changes in snowpack extent<sup>7</sup>. Semiarid regions in SESA and NEB with highly populated basins, and with extensive agriculture irrigation and hydropower demands are expected to increase their current vulnerability<sup>8</sup>.

- Projected changes in the cryosphere conditions of the Andes could affect the occurrence of extreme events as well as scenarios of water quality pollution by exposure to contaminants as a result of glaciers’ retreat<sup>9</sup>.

<sup>2</sup> (www.emdat.be)

<sup>3</sup> (Pasquini and Depetris, 2007; Krepper et al., 2008; Saurral et al., 2008; Amsler and Drago, 2009; Conway and Mahé, 2009; Dai et al., 2009; Krepper and Zucarelli, 2010; Dai, 2011; Doyle and Barros, 2011)

<sup>4</sup> (Marques, 2012)

<sup>5</sup> (Pasquini et al., 2006; Rodrigues Capítulo et al., 2010; Troin et al., 2010; Venencio and García, 2011; Bucher and Curto, 2012)

<sup>6</sup> (see review in Masiokas et al. (2009)

<sup>7</sup> (Pizarro et al., 2013; Vicuña et al., 2013)

<sup>8</sup> (high confidence; ECLAC, 2009a; Souvignet et al., 2010; Fiebig-Wittmaack et al., 2012; Vicuña et al., 2012)

<sup>9</sup> (Fortner et al., 2011)

## Terrestrial and Inland Water Systems

- Vertebrate fauna is projected to suffer species losses until 2100 of at least 10%<sup>10</sup>. In Brazil, projections for Atlantic forest birds, endemic bird species, and plant species<sup>11</sup> of the Cerrado biome indicate that distribution will dislocate toward the south and southeast, precisely where fragmentation and habitat loss are worse.
- In addition to climate change impacts at the individual species level, biotic interactions will be affected. Modifications in phenology, structure of ecological networks, predator-prey interactions, and non-trophic interactions among organisms have been forecasted<sup>12</sup>.
- Although in the region biodiversity conservation is largely confined to protected areas, with the magnitude of climatic changes projected for the century, it is expected that many species and vegetational types will lose representativeness inside such protected areas<sup>13</sup>.

## Coastal Systems and Low-lying Areas

- Coastal states of Latin America and the Caribbean have a human population of more than 610 million, three-fourths of whom live within 200 km of the coast<sup>14</sup>. Fish stocks, places for recreation and tourism, and controls of pests and pathogens are all under pressure<sup>15</sup>. The distribution of population is a crucial factor for inundation impact, with coastal areas being non-homogeneously impacted. A scenario of 1 m SLR would affect some coastal populations in Brazil and the Caribbean islands<sup>16</sup>.
- The greatest flooding levels (hurricanes not considered) in the region are found in Rio de La Plata area, which combine a 5 mm yr<sup>-1</sup> change in storm surge with SLR changes in extreme flooding levels<sup>17</sup>. Extreme flooding events may become more frequent because return periods are decreasing, and urban coastal areas in the eastern coast will be particularly affected, while at the same time beach erosion is expected to increase in southern Brazil<sup>18</sup>.
- In addition, the southwestern Atlantic coast, eastern Brazilian reefs might suffer a massive coral cover decline in the next 50 years<sup>19</sup>.

## Food Production Systems and Food Security

- By the end of the 21st century SA could lose between 1 and 21% of its arable land due to climate change and population growth<sup>20</sup>. Even if rainfall projections estimate increases of about 25% in SESA for 2100, agricultural

<sup>10</sup> (Lawler et al., 2009)

<sup>11</sup> (Anciães and Peterson, 2006); (Marini et al., 2009); (by 2055, scenarios HHGSDX50 and HHGGAX50; Siqueira and Peterson, 2003)

<sup>12</sup> (Brooker et al., 2008; Walther, 2010)

<sup>13</sup> (Heller and Zavaleta, 2009)

<sup>14</sup> (Guarderas et al., 2008).

<sup>15</sup> (Guarderas et al., 2008; Mora, 2008).

<sup>16</sup> (ECLAC, 2011a).

<sup>17</sup> (ECLAC, 2011a; Losada et al., 2013).

<sup>18</sup> (ECLAC, 2011a).

<sup>19</sup> (Francini-Filho et al., 2008).

<sup>20</sup> (Zhang and Cai, 2011).

systems could be threatened if climate reverts to a drier situation due to inter-decadal variability. This could put at risk the viability of continuous agriculture in marginal regions of Argentina's Pampas<sup>21</sup>.

- In Chile and western Argentina, yields could be reduced by water limitation. In northern Patagonia (Argentina) fruit and vegetable growing could be negatively affected caused by a reduction in rainfall and in average flows in the Neuquén River basin. In the north of the Mendoza basin (Argentina) increases in water demand, due to population growth, may compromise the availability of subterranean water for irrigation, pushing up irrigation costs and forcing many producers out of farming toward 2030. Also, water quality could be reduced by the worsening of existing salinization processes<sup>22</sup>.

- For NEB, declining crop yields in subsistence crops such as beans, corn, and cassava are projected<sup>23</sup>. In addition, increases in temperature could reduce the areas currently favorable to cowpea bean<sup>24</sup>. The highest warming foreseen for 2100 could make the coffee crop unfeasible in Minas Gerais and São Paulo (southeast Brazil).

- Climate change may also alter the current scenario of plant diseases and their management, having effects on productivity<sup>25</sup>. In Argentina, years with severe infection of late cycle diseases in soybean could increase; severe outbreaks of the Mal de Rio Cuarto virus in maize could be more frequent; and wheat head fusariosis will increase slightly in the south of the Pampas region by the end of the century<sup>26</sup>. In Brazil favorable areas for soybean and coffee rusts will move toward the south, particularly for the hottest scenario of 2080<sup>27</sup>.

- The choice of livestock species could change in the future. For example, by 2060, under a hot and dry scenario, beef and dairy cattle, pig, and chicken production choice could decrease between 0.9 and 3.2%. Thus, future climate could strongly affect milk production and feed intake in dairy cattle in Brazil, where substantial modifications in areas suitable for livestock, mainly in the Pernambuco region, are expected<sup>28</sup>.

## Human Settlements, Industry and Infrastructure

- Urban human settlements suffer from many of the vulnerabilities and impacts already presented taking into account that the provision of critical resources and services, including water, health, and energy, as well as adequate infrastructure and housing remain determinants of urban vulnerability that are enhanced by climate change<sup>29</sup>.

- Water resource management is a major concern for many cities that need to provide both drinking water and sanitation<sup>30</sup>. More than 20% of the population in the region are concentrated in the largest city in each country<sup>31</sup>, hence water availability for human consumption in the region's megacities of great concern. Flooding is also a preoccupation in several cities.

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<sup>21</sup> (Podestá et al., 2009)

<sup>22</sup> (ECLAC, 2010a)

<sup>23</sup> (Lobell et al., 2008; Margulis et al., 2010)

<sup>24</sup> (Silva et al., 2010)

<sup>25</sup> (Ghini et al., 2011)

<sup>26</sup> (ECLAC, 2010a)

<sup>27</sup> (Alves et al., 2011)

<sup>28</sup> (da Silva et al., 2009)

<sup>29</sup> (Smolka and Lorangeira, 2008; Winchester, 2008; Roberts, 2009; Romero-Lankao et al., 2012c, 2013b)

<sup>30</sup> (Henríquez Ruiz, 2009)

<sup>31</sup> (World Bank, 2012)

- The increase in precipitation is one of the expected risks affecting the city of São Paulo. Increases in flood events during 1980–2000 have been observed also in the Buenos Aires province and Metropolitan Area<sup>32</sup>. There are also the combined effects of climate change impacts, human settlements' features, and other stresses, such as more intense pollution events<sup>33</sup> and more intense hydrological cycles from urban heat island effects. In terms of these combined effects, peri-urban areas and irregular settlements pose particular challenges to urban governance and risk management given their scale, lack of infrastructure, and socioeconomic fragility<sup>34</sup>.

## Renewable Energy

- Hydro, wind energy, and biofuel production might be sensitive to climate change in SA. With the vital role that renewable energy plays in mitigating the effects of climate change.

- Biodiesel production has the lowest costs in LA<sup>35</sup> owing to the high production of soybean in Brazil and Argentina. Also, the cost of ethanol, mainly derived from sugarcane, is the lowest in CA, SA, and LA<sup>36</sup>. As the effects previously reported on crops growing in SESA might prevail (...), that is, that an increase in productivity may happen due to increasing precipitation, future uncertainty will have to be dealt with by preparing adapted varieties of soybean in order to maintain food and biodiesel production, mainly in Argentina, as it is one of the main producers of biodiesel from soybean in the world<sup>37</sup>.

- Other renewable energy sources - such as wind power generation - may also be vulnerable, raising the need for further research.

## Human Health

- Changes in weather extremes and climatic patterns are affecting human health, by increasing morbidity, mortality, and disabilities, and through the emergence of diseases in previously non-endemic regions<sup>38</sup>. Heat waves and cold spells have increased urban mortality rates<sup>39</sup>.

- Although the incidence of malaria has decreased in Argentina, its vector density has increased in the northwest along with climate variables<sup>40</sup>. Unlike malaria, dengue fever and its hemorrhagic variant are mostly urban diseases whose vector is affected by climate conditions. Their incidence have risen in tropical America in the last 25 years, causing annual economic losses of US\$2.1+ (1 to 4) billion<sup>41</sup>. Weather and climate variability are also associated with dengue fever in southern SA<sup>42</sup>, involving also demographic and geographic factors in Argentina<sup>43</sup>. In Rio de Janeiro a 1°C increase in monthly minimum temperature led to a 45% increase of dengue fever in the next month, and 10 mm

<sup>32</sup> (Andrade and Scarpati, 2007; Barros et al., 2008; Hegglin and Huggel, 2008; Nabel et al., 2008)

<sup>33</sup> (Moreno, 2006; Nobre, 2011; Nobre et al., 2011; Romero-Lankao et al., 2013b)

<sup>34</sup> (Romero-Lankao et al., 2012a)

<sup>35</sup> (Chum et al., 2011)

<sup>36</sup> (Chum et al., 2011)

<sup>37</sup> (Chum et al., 2011)

<sup>38</sup> Winchester and Szalachman, 2009; Rodríguez- Morales, 2011

<sup>39</sup> (McMichael et al., 2006; Bell et al., 2008; Hardoy and Pandiella, 2009; Muggeo and Hajat, 2009; Hajat et al., 2010)

<sup>40</sup> (Dantur Juri et al., 2010, 2011)

<sup>41</sup> (Torres and Castro, 2007; Tapia-Conyer et al., 2009; Shepard et al., 2011)

<sup>42</sup> (Honório et al., 2009; Costa et al., 2010; de Carvalho-Leandro et al., 2010; Degallier et al., 2010; Lowe et al., 2011)

<sup>43</sup> (Carbajo et al., 2012)

increase in rainfall to a 6% increase<sup>44</sup>. Despite large vaccination campaigns, the risk of yellow fever outbreaks has increased mostly in tropical America's densely populated poor urban settings<sup>45</sup>, alongside climate conditions<sup>46</sup>.

- Hantaviruses have been recently reported throughout the region<sup>47</sup>, and El Niño and climate change augment their prevalence<sup>48</sup>. Variation in hantavirus reservoirs in Patagonia is strongly dependent on climate and environmental conditions<sup>49</sup>. The incidence of visceral leishmaniasis has increased in Brazil (highest in LA) in association with El Niño and deforestation<sup>50</sup>, as in Argentina, Paraguay, and Uruguay<sup>51</sup>.

- The worsening of air quality and higher temperatures in urban settings are increasing chronic respiratory and cardiovascular diseases, and morbidity from asthma and rhinitis<sup>52</sup>, but also atherosclerosis, pregnancy---related outcomes, cancer, cognitive deficit, otitis, and diabetes<sup>53</sup>. Dehydration from heat waves increases hospitalizations for chronic kidney diseases<sup>54</sup>, affecting construction, sugarcane, and cotton workers in CA<sup>55</sup>.

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<sup>44</sup> (Gomes et al., 2012)

<sup>45</sup> (Gardner and Ryman, 2010)

<sup>46</sup> (Jentes et al., 2011)

<sup>47</sup> (Jonsson et al., 2010; MacNeil et al., 2011)

<sup>48</sup> (Dearing and Dizney, 2010)

<sup>49</sup> (Andreo et al., 2012; Carbajo et al., 2009)

<sup>50</sup> (Ready, 2008; Cascio et al., 2011; Sortino-Rachou et al., 2011)

<sup>51</sup> (Bern et al., 2008; Dupnik et al., 2011; Salomón et al., 2011; Fernández et al., 2012)

<sup>52</sup> (Grass and Cane, 2008; Martins and Andrade, 2008; Gurjar et al., 2010; Jasinski et al., 2011; Rodriguez et al., 2011)

<sup>53</sup> (Olmo et al., 2011)

<sup>54</sup> (Kjellstrom et al., 2010)

<sup>55</sup> (Crowe et al., 2009, 2010; Kjellstrom and Crowe, 2011; Peraza et al., 2012)

## Paper no. 2: Canada

[English and French]

## Canada's Submission on APA item 4 Further Guidance in Relation to the Adaptation Communication

Following the invitation of the Co-Chairs of the APA, Canada is pleased to submit its views on **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.**

The Paris Agreement recognizes adaptation as a key component of the global response to climate change and, accordingly, establishes a global goal for adaptation of enhancing adaptive capacity, strengthening resilience and reducing vulnerability to climate change. The Agreement also states 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.

Guidance on an adaptation communication should be complementary to any of the work being undertaken in relation to APA Item 5 Modalities, procedures and guidelines for transparency and could benefit from close alignment and updates as this item progresses.

This submission presents Canada's views on principles and possible elements of an adaptation communication in order to inform the development of guidance for an adaptation communication.

### PRINCIPLES

#### Purpose

Canada believes that communicating progress and plans on adaptation is important in order to share good practices and experiences, build capacity and incentivize action to put in place actions to reduce vulnerability to the impacts of climate change. It also offers an opportunity to highlight the importance of adaptation actions as an important response to climate change both domestically and internationally.

Given work is already underway to assess the outcome of adaptation actions including, consideration for enhancing reporting related to the process to formulate and implement national adaptation plans under the Subsidiary Body for Implementation (SBI), and the work being undertaken on the transparency framework (as per Article 5 of the Paris Agreement), we feel that the adaptation communication should be an opportunity for Parties to highlight certain aspects of their planned actions on adaptation.

In general, Canada views the adaptation communication as an opportunity to **identify and highlight forward-looking priorities, plans, and actions**, as it relates to **adaptation**.

#### Considerations

As parties consider further guidance in relation to the adaptation communication we will need to take into account other communication tools already in existence, including national communications and the process to formulate and implement national adaptation plans (NAPs). Additionally, an adaptation communication should both complement Parties existing actions on adaptation, while enabling Parties to communicate their intended efforts to achieve enhanced adaptation and resiliency.

## ELEMENTS

Canada strongly supports decision 5/CP.17 and its annex on National Adaptation Plans (NAP) and finds the principles and elements useful in providing a framework for planning, programming, and implementation of adaptation action in a country-driven and flexible manner.

We acknowledge the importance of not creating additional burden for parties through an adaptation communication which is why we would support using the elements of the NAP process as the starting point for an adaptation communication. Specifically we invite Parties to consider the following elements of the NAP process to include in an adaptation communication:

- identification of climate change impacts, vulnerability and adaptive capacity
- assessment of climate vulnerabilities
- adaptation plans, strategies, planned actions and expected results
- assessing progress, effectiveness and gaps
- updating of national adaptation plans

Canada appreciates this opportunity to provide further guidance on an adaptation communication and looks forward to continuing to share and exchange views with other Parties and stakeholders on this item.



## Soumission du Canada à propos du point 4 de l'APA

### Nouvelles directives concernant la communication sur l'adaptation

Suite à l'invitation des co-présidentes de l'APA, le Canada est heureux de soumettre son point de vue à propos **de nouvelles directives concernant la communication sur l'adaptation, notamment, et ce à juste titre, en tant qu'élément de contributions déterminées au niveau national, dont il est fait état à l'Article 7, aux paragraphes 10 et 11 de l'Accord de Paris.**

L'Accord de Paris reconnaît l'adaptation comme un élément clef de la riposte mondiale aux changements climatiques et établit, par conséquent, un objectif mondial consistant à renforcer les capacités d'adaptation, à accroître la résilience aux changements climatiques et à réduire la vulnérabilité à ces changements. L'Accord stipule également qu'il convient que chacune des parties soumette et actualise périodiquement une communication sur l'adaptation, où pourront figurer ses priorités, ses besoins en matière de mise en œuvre et d'appui, ses projets et ses mesures, sans imposer de charge supplémentaire aux pays en développement.

Les directives concernant la communication sur l'adaptation devraient venir s'ajouter au travail déjà entrepris en relation avec le point 5 de l'APA Modalités, procédures et lignes directrices aux fins de la transparence et pourraient bénéficier d'une harmonisation étroite et de mises à jour à mesure de l'avancement de ce point.

Cette soumission présente le point de vue du Canada sur des principes et de possibles éléments d'une communication sur l'adaptation afin d'informer du développement de l'orientation concernant la communication sur l'adaptation.

#### PRINCIPES

##### Objectif

Le Canada pense qu'il est important de communiquer les progrès et les projets relatifs à l'adaptation afin de partager les pratiques exemplaires et les expériences, de créer des capacités et de promouvoir des actions pour mettre en place des mesures visant à réduire la vulnérabilité aux répercussions dues aux changements climatiques. Cela donne également l'occasion de mettre en évidence l'importance des mesures d'adaptation en tant que riposte importante aux changements climatiques, à la fois sur le plan national et international.

Un travail dédié est déjà en cours afin d'évaluer les résultats des mesures d'adaptation, notamment la prise en compte d'une amélioration des rapports en ce qui a trait à la formulation et à la mise en œuvre des plans d'adaptation nationaux sous l'égide de l'Organe subsidiaire de mise en œuvre, et le travail entrepris sur le cadre de transparence (conformément à l'Article 5 de l'Accord de Paris), nous pensons que la communication sur l'adaptation devrait être une occasion pour les parties de mettre en évidence certains aspects de leurs mesures prévues pour l'adaptation.

De manière générale, le Canada considère la communication sur l'adaptation comme une occasion de **déterminer et de mettre en évidence les priorités tournées vers l'avenir, les plans et les mesures**, relativement à l'adaptation.

##### Considérations

Comme les parties envisagent de nouvelles directives relativement à la communication sur l'adaptation, nous devons tenir compte des autres outils de communication déjà en place, notamment les communications nationales et le processus de formulation et de mise en œuvre des plans nationaux d'adaptation (PNA). En outre, une communication

sur l'adaptation devrait compléter les mesures existantes des parties sur l'adaptation, tout en leur permettant de communiquer les efforts qu'ils envisagent pour renforcer l'adaptation et la résilience.

## ÉLÉMENTS

Le Canada soutient fermement la décision 5/CP.17 et son annexe sur les Plans nationaux d'adaptation (PNA) et trouve les principes et les éléments utiles pour fournir un cadre de planification, de programmation et de mise en œuvre des mesures d'adaptation de manière souple et à l'initiative du pays.

Nous reconnaissons l'importance de ne pas créer une charge supplémentaire aux parties à travers une communication sur l'adaptation, c'est pourquoi nous soutiendrons l'utilisation des éléments du processus d'élaboration des PNA comme point de départ à une communication sur l'adaptation. En particulier, nous invitons les parties à prendre en compte les éléments suivants du processus de PNA à inclure dans la communication sur l'adaptation :

- détermination des effets des changements climatiques, de la vulnérabilité et de la capacité d'adaptation
- évaluation des vulnérabilités au climat
- plans d'adaptation, stratégies, mesures planifiées et résultats attendus
- estimation des progrès, de l'efficacité et des lacunes
- mise à jour des plans nationaux d'adaptation

Le Canada apprécie cette occasion de fournir de nouvelles directives concernant la communication sur l'adaptation et se réjouit de continuer à partager et à échanger ses points de vue avec les autres parties et intervenants sur ce point.

Paper no. 3: Congo on behalf of the Central African Forests Commission\*

### **SOUMISSION APA – BASSIN DU CONGO**

L'APA a invité les Parties à soumettre, au plus tard le 30 Septembre 2016, leurs vues sur les points précis de son ordre du jour.

Les pays membres de la COMIFAC (République du Burundi, République du Gabon, République du Cameroun, République du Congo, République de Guinée Equatoriale, République Centrafricaine, République Démocratique du Congo, République Démocratique de Sao Tomé et Principe, République du Tchad et République du Rwanda) qui abritent le deuxième massif forestier tropical du monde, remercient les coprésidents de l'APA pour la démarche d'ouverture et de transparence qui augure du climat de confiance qui devra animer les travaux sous ce nouvel organe de la Convention.

Ces pays témoignent, par la présente, leur volonté de collaborer avec les coprésidents pour accompagner l'entrée en vigueur et la mise en œuvre de l'Accord de Paris.

Ils rappellent par ailleurs le principe de responsabilité commune mais différenciée dans le cadre de l'effort global de réduction/stabilisation de la concentration des gaz à effet de serre dans l'atmosphère, sans préjudice à l'article 3, paragraphe 2 de la Convention.

Les vues ci-après sont exprimées:

**Point 4, "des directives supplémentaires en relation avec la communication d'adaptation, y compris, entre notamment, en tant que composante des contributions déterminées au niveau national, visée à l'article 7, paragraphes 10 et 11, de l'Accord de Paris";**

1. Les pays du Bassin du Congo considèrent l'adaptation comme une priorité pour équilibrer leur participation à l'effort global de lutte contre les effets néfastes des changements climatiques;
2. L'ouverture d'un registre public visé à Article 7.12 devrait contribuer à améliorer la communication sur les actions et le soutien en matière d'adaptation.
3. Les pays du Bassin du Congo recommandent qu'une section soit créée sur l'adaptation dans les BURs régulièrement soumis à revue. Cette section sur l'adaptation pourrait introduire les priorités, la planification à court, moyen et long terme, les besoins de mise en œuvre et de soutien, les difficultés rencontrées.

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\* Sections of this submission relating to item 3 of the agenda of the APA are contained in document FCCC/APA/2016/INF.1, sections relating to item 5 in document FCCC/APA/2016/INF.3, and sections relating to item 6 in document FCCC/APA/2016/INF.4.

## APA SUBMISSION-CONGO BASIN

The Ad Hoc Working Group on the Paris Agreement (APA) invited Parties to submit their views on specific items on the agenda.

Republic of Congo on representing the views of the member countries of the Central African Forestry Commission COMIFAC (**Republic of Burundi, Republic of Gabon, Republic of Equatorial Guinea, Central African Republic, Democratic Republic of Congo, Republic of Congo, Republic of Cameroon, Republic of Sao Tome and Principe, Republic of Chad, and Republic of Rwanda**) which constitutes the second largest tropical forest in the world welcome the opportunity. We are happy to present our views on the rules, modalities and procedures of the mechanism of Article 6, paragraph 4 of the Paris Agreement as stated below: We thank the APA co-chairs for their openness and transparent approach in building a climate of confidence which will lead the work under this new body of the Convention.

We therefore express our willingness to work with the co-chairs to accompany the entry into force and implementation of the Paris Agreement.

However, it is important to remind everyone of the principles of common but differentiated responsibility in the context of the overall efforts to reduce and stabilize the concentration of greenhouse gas in the atmosphere without prejudice on Article 3, paragraph 2 of the Convention.

The following views are expressed:

**Item 4: “Additional guidance in relation to adaptation communication, including amongst others, as part of the Nationally Determined Contribution referred to in Article 7, paragraphs 10 and 11 of the Agreement”;**

- 1- Countries of the Congo Basin consider adaptation as a priority to strike a balance for their participation in the global efforts to fight against the negative effects of climate change;
- 2- The creation of a public register referred to in article 7.12 should contribute towards better communication about the actions and support for adaptation;
- 3- Countries of the Congo Basin recommend that a section be created on adaptation in BURs subject to regular review. This section on adaptation could include priorities, short, medium and long term planning, needs, supports and difficulties encountered.

Paper no. 4: Costa Rica on behalf of the Independent Association for  
Latin America and the Caribbean

**SUBMISSION BY COSTA RICA ON BEHALF OF THE AILAC GROUP OF COUNTRIES COMPOSED BY CHILE,  
COLOMBIA, COSTA RICA, HONDURAS, GUATEMALA, PANAMA, PARAGUAY AND PERU**

30<sup>th</sup> of September 2016

**Subject: 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.**

**Reference: FCCC/APA/2016/L.1.**

1. AILAC welcomes the opportunity to submit its views on item 4 of the APA agenda on 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.
2. This submission is structured in three sections: the first is an introduction in which the objective and other relevant considerations of the adaptation communication are presented, following with the proposal of guidance for the adaptation communication and finally, the latter sections include the follow up of the adaptation communication and concluding remarks.

**I. Objective and other considerations of the adaptation communication**

3. **The objective of the adaptation communication** is to catalyse action by communicating clearly and effectively national priorities, needs and plans. The guidance of the adaptation communication should make the adaptation communication a useful tool for Parties to identify and communicate priorities and needs that will allow for more efficient support to enhance adaptation action.
  - a. AILAC recalls the role that the adaptation communication should play in enhancing the implementation of adaptation action, in accordance to Article 7 paragraph 14 of the Paris Agreement, and that the adaptation communication would ultimately assist in achieving the global goal of adaptation (Article 7 paragraph 1) and the purpose of the Agreement (Article 2 paragraph 1(b)).
  - b. In this sense, the adaptation communication should be a tool to:
    - i. Facilitate understanding of synergies in priorities and needs that have been submitted as potential opportunities that facilitate enhancing adaptation action and related issues (i.e. research, development and investment).
    - ii. Facilitate cooperation, collaboration and support needed for adaptation actions.
    - iii. Promote multi-sectorial, local and national political processes that help define nationally determined adaptation actions, priorities, needs and plans (to be submitted in the adaptation communication) and that could also facilitate progress of national adaptation planning processes.
4. **Relevance of the guidance of the adaptation communication:** Article 7 paragraph 10 of the Paris Agreement provides basic guidance for the adaptation communication, indicating that Parties can communicate and update periodically their adaptation priorities, needs, plans and actions.
5. The lack of guidance for the adaptation component of the intended Nationally Determined Contributions that was provided (refer to decision 1/CP.20) made analysis or aggregate understanding difficult. Further guidance to ensure that the information to be submitted by Parties via the adaptation communication would facilitate understanding and aggregated assessments to make a meaningful understanding of progress and to promote enhanced adaptation action.
6. Furthermore, Article 7 paragraph 11 of the Agreement indicates that the adaptation communication can be submitted through a variety of already existing documents. This flexibility is critical for Parties; however, the

variety of communication instruments should not hinder clarity nor national and international follow up. The guidance that Parties agree to for the adaptation communication should be applicable regardless of which document the Party chooses to submit its adaptation communication.

7. With further guidance, the adaptation communication could foster clear submission of Parties' adaptation priorities, needs (technology, finance and capacity-building needs) and plans which could facilitate Parties linking support to needed implementation and enhancement of adaptation actions; furthermore, create incentives for international funding to align with nationally identified adaptation priorities rather than having isolated efforts prioritized by the international agencies.
8. In order to simplify follow up and provide clarity of what the priorities and needs of Parties are, the guidance of the adaptation communication should consider categories of information that contribute to simplify follow up and also, facilitate the development of the adaptation communication by Parties (avoiding additional burden to Parties). The content of these initial categories of information to be provided by Parties could be drawn from other existing instruments and are described below.
9. **Avoiding additional burdens:** Guidance of the adaptation communication requires consideration of the different instruments used adaptation. There must be coherence between the adaptation communication and other existing instruments (i.e. National Communications, NAPs, NAPAs, among others) as they can serve as a basis for the adaptation communication and its consideration would help to avoid unnecessary additional efforts. Examples of coherence amongst instruments and the adaptation communication or how the existing communications or documents serve as a basis for the adaptation communication include the following:
  - a. The National Communication (NATCOM), a reporting instrument that includes climate scenarios and vulnerability assessments, can provide input and serve as a basis to identify needs to be submitted in the adaptation communication. Furthermore, as a main reporting instrument of adaptation measures Parties have carried out, for AILAC it is the key input for the Enhanced Transparency Framework.
  - b. The National Adaptation Plan (NAP), a national instrument designed to assist Parties in adaptation planning processes, could serve as a basis to define priorities to be submitted in the adaptation communication. In the same way, the adaptation communication could be used to communicate current and upcoming implementation of adaptation plans included by Parties in their NAPs.
  - c. The Nationally Determined Contributions (NDC), as per Article 3 of the Paris Agreement (which highlights its political prominence), is considered as the most appropriate vehicle to communicate climate action, including adaptation that cannot be seen as isolated from mitigation. The communication of adaptation priorities, needs, plans and actions in the iNDC (more than 75% of Parties presented adaptation component of their iNDC) has helped to raise the political support for adaptation, and in that sense for AILAC, the NDC should serve as the main vehicle for the adaptation communication.

## II. Guidance for the adaptation communication

10. **Consideration of timeframes for the submission of the adaptation communication:** In terms of an adequate period of communication that could allow for enhancement of implementation of adaptation actions and measure overall progress of the new commitments under the Paris Agreement, Parties should update their communication on adaptation on the same period they will communicate their mitigation actions (5 year period). This will facilitate the follow up on adaptation efforts and support under the global stocktake and the enhanced transparency framework.
  - a. **Considerations to define categories of information:**
11. A point of departure for the guidance of the adaptation communication is contained in the Global Goal on Adaptation "of enhancing adaptive capacity, strengthening resilience and reducing vulnerability to climate change, with a view to contributing to sustainable development and ensuring an adequate adaptation response in the context of the temperature goal referred to in Article 2" as defined in Article 7.1 of the Paris Agreement.

12. Content of the “categories of information” must be available and shared across all Parties, even if there are different degrees of progress in adaptation planning and different levels of development of national systems of monitoring and evaluation.
13. The “categories of information” should be understood as elements that contribute to facilitate follow up of the adaptation communication including for better understanding among Parties and for an aggregate analysis.
14. The guidance for the adaptation communication that will be provided by establishing “categories of information” shall not be of a permanent nature, on the contrary, this guidance can be improved throughout time by the Parties. In this sense, there should be a periodic review of the guidance and specifically of the categories of information that the adaptation communication should include in order to ensure the adaptation communication is fit to the aforementioned objectives.
15. These information categories should not be considered a requirement for accessing funding mechanisms of any source, as well as to accessing technology development and transfer not to capacity building.

#### **b. Categories of information**

16. The following proposal of categories of information for the adaptation communication should be considered as an evolving one. Once Parties decide upon these initial categories of information this can be adopted and revisited by Parties.
17. The categories of information to guide the development of the adaptation communication can be established in two groups: the first group of categories should be the common information that Parties should address in their adaptation communication and the second group of categories would include additional information that Parties could voluntarily include if there is information available for the Parties to submit.
18. Some of the common “categories of basic information” in the adaptation communication that Parties could consider in their Adaptation Communications could include:
  - a. Context information on the country, in order to facilitate the understanding of adaptation priorities and needs, including national long-term adaptation objectives or vision, ideally indicating priority or strategic areas and a brief description of the vulnerability assessment and the expected impacts informed by temperature scenarios.
  - b. Prioritized actions identified, including timeframes if available (short, medium and/or long term).
  - c. Adaptation support needs by developing countries, including financial, technology transfer and development, and capacity building needs to implement identified adaptation actions (*if possible, distinguishing between conditional and national actions*).
  - d. Development instruments through which the adaptation actions or priorities are to be or would be implemented, including national development plans, local and sectorial plans, projects, among others.
19. Parties could also include the following **additional categories of information** in the adaptation communication (if information is available to Parties):
  - a. Information on how the country is planning to monitor and evaluate its progress at a national level.
  - b. Nationally determined co-benefits including the mitigation co-benefits that adaptation action may provide.
  - c. The local, sectoral, subnational, national, regional and international dimensions of adaptation priorities, plans and needs could be included in the context.
  - d. Specify which upcoming adaptation actions to be implemented contribute to increase resilience, increase adaptive capacity and/or to reduce vulnerability (according to Art.7.1).

### **III. Follow up of the adaptation communication**

20. As established in the Paris Agreement, the adaptation communication will have international follow up and according to Article 13 and Article 14, it will occur in both the Enhanced Transparency Framework and the Global Stocktake.
21. In terms of Transparency for adaptation, AILAC believes that it should be oriented as a way to share experiences and lessons learned in the spirit of cooperation and as a way to enhance action and support.

22. In relation to Global stocktake, AILAC considers that this periodic momentum will enable an opportunity to assess overall adaptation efforts and support and increase these efforts in the light of the Global Goal on Adaptation and Art. 2.1(b).
23. The aforementioned categories of information would be required to address the collective aspects of adaptation priorities, needs and support. Along with the financial information provided by developed countries, the assessment of adequacy thereof can be understood, as follow up to the adaptation communication.
24. In order to provide clarity for this international follow up, the registry established in Article 7 paragraph 12 will be fundamental to centralize priorities, needs, plans and actions communicated by Parties. In this sense, the Registry could be informed by the categories of information the adaptation communication will include in order to facilitate international collaboration and identification of trends and synergies to make progress towards the global goal of adaptation.
25. AILAC has provided submissions on both the Global Stocktake and the Enhanced Transparency Framework where greater detail is provided in the role of adaptation in each.

#### **IV. Concluding remarks**

26. The Paris Agreement has recognized the importance of enhancing adaptation action including through the identification of adaptation priorities, needs, plans and actions that Parties hereon submitted via the adaptation communication.
27. Considering the alternative instruments to submit the adaptation communication, for AILAC there are clear advantages of presenting it as a component of the nationally determined contributions, including high level political support at the national and international level, parity and articulation with mitigation action.
28. The Agreement has also set up the key elements for adaptation follow up through the Enhanced Transparency Framework and the Global Stocktake. In order to maximise the usefulness of these processes, the adoption of guidance for the adaptation communication and its comprehensive follow up will be fundamental to Parties.
29. Guidance for the adaptation communication should be provided particularly through the definition of categories of information. These adopted categories of information shall be revised iteratively in order to ensure that the adaptation communication is being as useful as possible to enhance adaptation action throughout time and to further follow up and analysis.
30. This guidance should take into consideration existing adaptation information to avoid additional burdens as well as same communication periods as mitigation to be able to identify potential synergies and required ambition.
31. AILAC is providing further associated details to this submission via its submissions for other agenda items, including on Global Stocktake and the Enhanced Transparency Framework. AILAC will also be sharing further views regarding this submission during upcoming negotiations within the UNFCCC.



## Paper no. 5: Indonesia

**SUBMISSION BY INDONESIA**

Pursuant to the conclusion adopted by the Ad Hoc Working Group on the Paris Agreement at its First session in May 2016 particularly agenda item 4, the Government of the Republic of Indonesia herewith submits our view on ***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***

**I. BACKGROUND/PRINCIPLES**

- Adaptation communication is an important instrument to obtain recognition from international community on the adaptation effort as a contribution from developing country Parties on climate action as referred to Article 7.3.
- Adaptation communication can be as a tool to identify the contribution of adaptation actions in enhancing resilience and adaptive capacity in the context of global goal on adaptation.
- There are clear linkages between adaptation communication and transparency framework and global stock take.
- Adaptation Communication should take into consideration flexibility and allowing improvement overtime.

**II. SCOPE**

- Adaptation Communication should include information on country priorities, plans and actions, support needs and support provided.
- Information needed to identify trends and opportunities in the context of global goal on adaptation.
- Indicators to monitor and evaluate the implementation of climate change adaptation actions.
- Gap and constraints related to the implementation of climate change adaptation actions and its communication.

Paper no. 6: Iran (Islamic Republic of) on behalf of the Like-minded Developing Countries

**Submission of the Like-Minded Developing Countries (LMDC)  
On the Work of the Ad-Hoc Working Group on the Paris Agreement (APA) under APA Agenda Item 4**

The Like-Minded Developing Countries (LMDC) Group in the UNFCCC makes this submission<sup>1</sup> containing the Group's initial views in relation to APA Agenda Item 4, pursuant to paragraph 8 of the conclusions of the APA at its first session in Bonn in May 2016.<sup>2</sup>

**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"**

1. The development of guidance in relation to the communication of the adaptation component of NDCs should seek to achieve the effective implementation of the adaptation provisions of the Convention and the Paris Agreement.
2. In this context, a differentiated approach to the adaptation communications must be reflected in which the undertaking of adaptation plans and actions, and the communication of such adaptation plans and actions, are essentially discretionary under the Paris Agreement, while the provision of adaptation-related support to developing countries continues to be an differentiated obligation of developed country Parties under Article 7.13 of the Paris Agreement, when read in the context of Article 4.4 of the Convention.
3. The balance between the need for guidance for adaptation communications with the need for flexibility can be achieved by having guidance that:
  - (a) Reflects and respects the discretionary and voluntary nature of Parties undertaking national adaptation plans and programmes and of the voluntary modality by which they may communicate such adaptation actions – e.g. whether through inclusion as the adaptation component of their NDCs; through submission as a national action plan (NAP), or as part of their national communications;
  - (b) Enhancing the required provision and communication of adaptation-related support from developed country Parties to developing country Parties under Article 7.13 of the Paris Agreement, consistent with the obligations of developed country Parties under Article 4.4 of the Convention, including modalities to facilitate the mobilization and provision of support for adaptation in developing countries, and modalities to review the adequacy and effectiveness of adaptation-related support provided by developed country Parties;
  - (c) Modalities and procedures for assessing the adaptation needs of developing country Parties for which support under Article 7.13 of the Paris Agreement and Article 4.4 of the Convention would be provided by developed country Parties.

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<sup>1</sup> This submission is without prejudice to additional submissions that the Group, or individual Party members of the Group, may make; and may also be further revised or supplemented.

<sup>2</sup> See FCCC/APA/2016/L.3, at <http://unfccc.int/resource/docs/2016/apa/eng/l03.pdf>

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Paper no. 7: Japan\*

**Submission on agenda item 4 of APA by Japan**  
**“Further guidance in relation to the adaptation communication” and relevant issues**

26 August 2016

This submission aims at sharing Japan’s current views on adaptation-related matters, namely “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 (APA agenda: item 4)” as well as adaptation-related aspects of the transparency framework and the global stocktake, without prejudice to Japan’s future position on further negotiation. Please note that overall views on transparency (APA agenda: item 5) and global stocktake (APA agenda: item 6) will also be submitted in separated submission(s) later.

**I. Item 4: Further guidance in relation to the adaptation communication**

The role of the adaptation communication is essential in terms of maintaining the high profile on adaptation, which was achieved in the Paris Agreement. It is important to note that the Agreement provides enough flexibility relating to what kind of information Parties include in their adaptation communications and how (often) they submit and update the adaptation communication as referred to in Article 7, paragraphs 10 and 11. It is also important for all Parties, through the adaptation communication, to share information on their respective knowledge, experiences, best practices and lessons learned from scientific analysis (impact/ vulnerability assessment), adaptation planning and actions undertaken by each Party, and to learn each other to improve their own planning process and enhance adaptation actions.

Climate change impacts and adaptation options are different in nations, regions, local communities, and/or sectors. Considering flexibility provided by the relevant paragraphs of the Paris Agreement, it is vital to develop a flexible and useful scheme on adaptation communication which helps each Party take appropriate approach based on its different situation.

In light of such background, Japan would like to suggest that main features of the further guidance in relation to the adaptation communication will be as follows:

1. **Basic Principle:** One of the most important things in developing guidance is that adaptation

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\* Sections of this submission relating to item 5 of the agenda of the APA are contained in document FCCC/APA/2016/INF.3 and sections relating to item 6 in document FCCC/APA/2016/INF.4.

communications will help each Party understand other Parties' undertakings in adaptation, utilize them to promote and improve its existing and future planning processes and actions in an effective way, and collaborate with others through different levels of regional dialogues and international forums and so on. Originally, the Paris Agreement and the related COP decision do not require developing guidance in relation to the adaptation communication, and each country is not obliged to develop a new report/ communication. Because paragraphs 10 and 11 of Article 7 provide Parties with flexibility in terms of frequency of submission and updates of the adaptation communications as well as its vehicle of submission. Taking into consideration the importance of flexibility in the context of adaptation, the guidance should be flexible and suggestive rather than strictly force Parties to take some specific actions on the reporting.

2. **Scope:** Keeping in mind flexibility and the description of “(Parties’) priorities, implementation and support needs, plans and actions” (Article 7, paragraph 10 of the Paris Agreement), it is useful to consider basic information which would be appropriate to be included in the adaptation communication to help each Party understand other Parties' undertakings in adaptation and provide input for the global stocktake (*See p.4 (II. (B)) of this submission*). Possible information could include impact/vulnerability assessment based on the latest scientific data, monitoring systems of climate change impacts, strategies of adaptation policies (e.g. mainstreaming adaptation into national/ development plans), adaptation planning processes (PDCA cycles) and priority actions (e.g. development of information platform, promotion of local actions) which Parties undertake as well as best practices, challenges/obstacles and lessons learned from relevant stakeholders in each country Party. The relationship with adaptation actions and sustainable development will also be taken into consideration.

Following existing and relevant guidelines may be helpful for each Party to consider basic information of its adaptation communications in a balanced manner.

**(1) Initial guidelines for the formulation of national adaptation plans (NAPs):**

*FCCC/CP/2011/9/Add.1, Annex*

**(2) Article 4 of the Convention,** subparagraphs 1 (b) and (e):

*(b) ... measures to facilitate adequate adaptation to climate change*

*(e) Cooperate in preparing for adaptation to the impacts of climate change; develop and elaborate appropriate and integrated plans for coastal zone management, water resources and agriculture, and for the protection and rehabilitation of areas, particularly in Africa, affected by drought and desertification, as well as floods*

(3) Relevant descriptions of **reporting guidelines for National Communications (NCs)**<sup>1</sup>:

3. **Modalities of submission:** There are three main options to submit adaptation communications, as referred to in Article 7, paragraph 11, of the Paris Agreement, and it is essential that each Party can choose one of any options that are effective and convenient. While some Parties develop adaptation communications, other Parties include adaptation component in the existing vehicles, including national adaptation plan (NAP), NDC, and national communication (NC). Almost all of the Parties have reported adaptation-related information through the NC under the Convention, and many Parties have included adaptation component in their (I)NDCs.
4. **Frequency:** Taking into account the description of “Each Party should, as appropriate, submit and update periodically an adaptation communication”, referred to in Article 7, paragraph 10, the frequency of the adaptation communication should be country-driven, without creating any additional burden for all Parties. The frequency of submission of NCs and NDCs may be a reference of that of the adaptation communication; however it will be up to each Party relating to the frequency of including the adaptation communication in its NC and/or NDC, if adaptation communication is included in its NC and/or NDC.

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<sup>1</sup> Paragraph 49 (<http://unfccc.int/resource/docs/cop5/07.pdf>), Paragraph 46-47 (<http://unfccc.int/resource/docs/2016/sbi/eng/122.pdf>), and Paragraph 28-36 ([https://unfccc.int/files/national\\_reports/non-annex\\_i\\_natcom/submitted\\_natcom/application/pdf/17\\_cp.8.pdf](https://unfccc.int/files/national_reports/non-annex_i_natcom/submitted_natcom/application/pdf/17_cp.8.pdf))

Paper no. 8: Maldives on behalf of the Alliance of Small Island States

**Submission by the Republic of the Maldives  
on behalf of the *Alliance of Small Island States***

**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**

30 September 2016

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**Title:** Submissions on APA Item 4

**Submission Title:** 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”

**Issue:** Submissions on APA Agenda Item 4

**CONTEXT**

The development of guidelines for an Adaptation Communication should reaffirm SIDS priorities, implementation and support needs, plans and actions, without creating any additional burden for SIDS. Any such guidelines should build in the flexibility recognised in the Paris Agreement, in particular, the mandate provided in Article 7 paragraph 10 on priorities, implementation and support needs, plans and actions. Parties should also have flexibility in reporting on their adaptation efforts implementation, with the view to building and retaining capacity in this regard over time. Some of the challenges faced by SIDS in the application of the initial guidelines include, inter alia:

- No existing guidelines for Adaptation Communications;
- No guidelines for inclusion of Adaptation in Nationally Determined Contributions for countries choosing to do so;
- No guidelines for Adaptation Communications in relation to existing guidelines developed for National Adaptation Plans;
- Uncertainty as to the timing of the release of any such guidelines, that will fit within the timely development of national adaptation planning processes such as those that inform National Communications;
- The lack of or limited funding to enhance the existing reporting burden of SIDS in meeting reporting obligations under the UNFCCC.

Therefore, SIDS regard the development of guidance on Adaptation Communications as an urgent priority. The Convention and the Paris Agreement provide the essential framework for the recognition of SIDS needs as they relate to reporting under the UNFCCC. It is well acknowledged that small island developing countries are particularly vulnerable to the adverse effects of climate change and already bear a disproportionate or abnormal burden in adapting to them.

**SUGGESTED CONSIDERATIONS FOR THE DEVELOPMENT OF GUIDELINES**

Guidelines for an Adaptation Communication should address scope, frequency of reporting, and the level of detail of reporting.

The Adaptation Communication guidelines should facilitate the provision of adequate and relevant information for a global overview of support needs and finance provided to feed into any global stocktake on the state of adaptation efforts, support, experiences and priorities on adaptation.

Guidelines for an adaptation communication should ensure consistency irrespective of the choice of reporting vehicle in line with Paragraph 7.11 of the Paris Agreement: ...as a component of or in conjunction with other communications or documents, including a national adaptation plan, a nationally determined contribution...

The minimum elements for such an Adaptation Communication may include content and structure as follows:

Important elements to be included where possible (irrespective of Structure):

- Impacts and vulnerability assessment
- Information on resilience-building activities/actions
- Information on state of adaptive capacity
- Adaptation plans/strategies and priorities
- Synergy with national goals/policies related to improved adaptive capacity and resilience, reduced vulnerability
- Implementation and support needs
- Support provided and/or received

Proposed Structure:

- Background section: Impacts, climate resilience and climate vulnerability
- Adaptation plans/strategies:
  - priorities , planned actions, expected results
  - Implemented adaptation actions, results
  - Process to formulate plans/strategies
  - Domestic M&E framework
- Adaptation Needs & Support:
  - Qualitative and/or quantitative needs for support
  - Support provided and/or received

## LINKAGES

In developing Adaptation Communication guidelines, Parties should factor in the link with various agenda items under the APA, SBI and SBSTA to include paragraph 7.12 of the Paris Agreement which makes reference to an Adaptation Communication being recorded in a public registry maintained by the secretariat.

In this respect, AOSIS has taken the position that the mitigation and adaptation registries should be treated separately. This is because mitigation and adaptation actions, while linked, are very different technologically, and have very different planning horizons and lifecycles. A singular registry will likely link adaptation actions to the agreed cycle for mitigation, which not only may not represent reality in respect of the implementation of the two types of activities, but would also present an undue reporting burden for SIDS given well-documented experience of the challenges in meeting current reporting requirements under the Convention, e.g. NatComs and BURs, in terms of technology, capacity, timing etc..

For the Adaptation Communication to act as a vehicle for enhancing the adaptation efforts of SIDS, it must fit with their unique circumstances. The development of Adaptation Communication guidelines under the Paris Agreement must be flexible enough to take SIDS, whose people are at the forefront of climate change impacts, into account.

Paper no. 9: Mali on behalf of the African Group

**Submission by the Republic of Mali on behalf of the African Group of Negotiators  
on  
Further Guidance in Relation to the Adaptation Communication  
30 September 2016**

This submission responds to the invitation from the first session of the Ad Hoc Working Group on the Paris Agreement (APA), to make submissions on 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.

This submission should be read alongside the submissions made by the African Group of Negotiators (AGN) to the APA on agenda item 5, "Modalities, procedures and guidelines for the transparency framework for action and support referred to in Article 13 of the Paris Agreement", on item 6, "Matters relating to the global stocktake referred to in Article 14 of the Paris Agreement", as well as on the AGN's submission to the call made by the Adaptation Committee and the Least Developed Countries Group of Experts (LEG) on the mandates stemming from decision 1/CP.21.

The context of the submission is contained in previous submissions by the AGN to the ADP on adaptation in the 2015 Agreement.

## 1. Background

The AGN sees the adoption of the Paris Agreement as a critical milestone in achieving the objective of the United Nations Framework Convention on Climate Change (UNFCCC) and addressing climate change. As such, for the AGN, the Paris Agreement is guided by the principles of the Convention, including equity and common but differentiated responsibilities and respective capabilities, as well as the objectives of the Convention. It is therefore our view that, the commitments outlined in Article 4 of the Convention continue to apply in the implementation of the Paris Agreement.

With the adoption of the Paris Agreement, Parties have made progress towards achieving material parity between mitigation and adaptation, including by integrating adaptation as a component of Nationally Determined Contributions (a-NDCs), and ensuring the provision of enhanced means of implementation to developing countries that meets their needs and priorities.

The Paris Agreement further establishes the global goal for adaptation (GGA) "to enhance adaptive capacity, strengthen resilience and reduce vulnerability to climate change, with a view to contributing to sustainable development and ensuring an adequate adaptation response in the context of the temperature goal referred to in Article 2" (Article 7.1), thereby recognising the intrinsic relationship between the global temperature goal, the required adaptation action and the necessary means of implementation to enable adequate adaptation action.

As such, for the AGN it is imperative to ensure that balance between adaptation and mitigation continues to be pursued in the implementation of the Paris Agreement, including the operationalization of the GGA, to enhance adaptation action and support, which is a priority for Africa. This is particularly important given that the mitigation contributions Parties put forward in their intended nationally determined contributions (INDCs) translate into an average of 2.8°C rise over pre-industrial temperatures by end of the century.



The Paris Agreement addresses various aspects of the GGA in its different articles, therefore operationalising the adaptation provisions and the GGA requires a holistic approach<sup>1</sup>.

## 2. Further Guidance on Adaptation Communications

### ***Vehicle***

The AGN recognises that Articles 3 and 7.11 of the Paris Agreement provide the framework for using NDCs as means for communicating adaptation undertakings, whilst providing flexibility to use other vehicles such as National Adaptation Plans (NAPs) or National Communications.

It is our view that an adaptation component of an NDC<sup>2</sup> provides the primary tool for Parties to articulate their contributions as these are forward looking, as such adaptation is also referred to as a-NDC. Such contributions are towards achieving the purpose of the Agreement in strengthening the global response to the threat of climate change in the context of sustainable development and efforts to eradicate poverty (Article 2) and the objective of the Convention.

### ***Periodicity***

Articles 4.9 and 7.11 provide for NDCs to be communicated every five years. While countries are provided with flexibilities to use different vehicles and hence less stringent timeframes, it is important that the adaptation communications are submitted in a timely manner that provides a `snapshot in time` prior to the global stocktake.

The adaptation information contained in a-NDCs need to be communicated prior to the publication of the synthesis report to be prepared by the UNFCCC secretariat such that the envisaged state of adaptation action and support can be understood. The aggregate of `communicated information` from a-NDCs, and `reported information` from the transparency mechanism are essential inputs for the global stocktake.

### ***Consideration***

The AGN further recognises that Article 7.5 of the Paris Agreement confirms that adaptation action should follow a country-driven, gender-responsive, participatory and fully transparent approach, taking into consideration vulnerable groups, communities and ecosystems, and be based on and guided by the best available science and, as appropriate, traditional knowledge of indigenous peoples and local knowledge systems.

This means that guidance in relation to the adaptation communications must be sufficiently flexible to accommodate national circumstances and be sufficiently clear to enable an assessment of the contribution to the GGA and adequate adaptation action and support. This requires, as a minimum, a set of minimum agreed information and defined modalities for adaptation communications to evaluate the aggregate effect of the a-NDCs at the global stocktake and tracking progress towards achieving the objective of the Convention and the purpose of the Paris Agreement as outlined in Article 7.14 as well as Article 14.3.

### ***Minimum Information***

Although more than two-thirds of the countries had an adaptation component in their INDCs (a-INDCs), the synthesis report of INDCs that was prepared by the UNFCCC secretariat was unable to evaluate the aggregate effect of the a-INDCs due to the lack of guidelines and upfront information contained in the Lima decision. As such, COP 22 in

<sup>1</sup> See annex 1 for a reference of all adaptation-relevant Articles and their relationships.

<sup>2</sup> See also paragraph 12 of decision 1.CP/20

Marrakech needs to make progress on further guidance on the a-NDCs, including agreeing on minimum information requirements.

The adaptation communications referred to in Articles 7.10 and 7.11 of the Paris Agreement apply to all Parties, both developing and developed countries. The AGN is of the view that in order to ensure progress towards the GGA, the adaptation communications should include five elements/features as outlined in Articles 7.10, namely:

- vulnerability and priorities;
- plans and actions;
- implementation and support needs;
- recognition of adaptation efforts of developing countries; and
- Indicative levels of support provided to developing countries from developed countries<sup>3</sup>.

These features of the communication will therefore contribute to operationalising and tracking progress of the GGA as these features address adaptive capacity, resilience, and vulnerability. As such, these are central to a meaningful tracking progress towards an adequate adaptation response.

### 3. Features and the Associated Minimum Information

#### ***Vulnerability and Priorities***

In order to track progress on reducing vulnerability, a-NDCs should include an assessment of vulnerability, not with a view to develop a common metric against which different countries can be compared, rather at the exposure different countries face. Such exposure could be based on populations exposed to certain stresses, sectors of the economy vulnerable to climate change, and geographic areas that are most vulnerable to the impacts of climate change.

Such exposure could be quantified through risk assessments, such as percentage of population vulnerable to droughts, percentage of the agricultural sector at risk, or percentage of coastline vulnerable to storm surges. Such risk can be aggregated by the secretariat to get an idea of the global level of vulnerability. Such risk can further be expressed in the context of different temperature scenarios. This will contribute to establishing a baseline of vulnerability which will help assess progress towards the achievement of the GGA, as the global community can collectively assess progress in reducing such vulnerability. At the global stocktake the aggregation of a-NDCs could be compared to a global Intergovernmental Panel on Climate Change (IPCC) Report.

However, it is important to have methodological guidance for a suite of such metrics that Parties can choose from as appropriate to their national circumstances. Therefore, the IPCC should be tasked with developing or improving existing guidelines for vulnerability assessments, including those metrics, to enable standardisation and enable aggregation. The IPCC could as well publish reports every five years to provide a global picture of vulnerability based on both top-down and bottom-up assessments of vulnerability, including those metrics.

Building on their vulnerability assessments and national development plans and actions, countries should indicate their adaptation priorities, including prioritised sectors and geographies in their adaptation communications as well as options for climate adaptation response.

#### ***Plans and Actions***

It is our view that in a-NDCs countries should also indicate what plans and actions they intend to undertake given the provision of means of implementation. This could include planning objectives for adaptation in the context of national

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<sup>3</sup> As provided in Article 9.5, with provision in paragraph 56 of decision 1.CP/21 to initiate a process at COP 22 to identify the information to be provided by developed countries in the context of the biennial communications of indicative support.

development priorities and country programmes as developed under the readiness programme of the Green Climate Fund, or outlining how resilience considerations are taken into account in national development planning, and, where appropriate, into sectoral plans.

This could also include the development of national and sub-national policies, institutional frameworks as well as programs and projects, including those targeted at specific sectors. The identified plans and actions could be linked to the vulnerabilities identified and expected outcomes in the context of addressing those vulnerabilities through plans and actions.

This feature of adaptation communications would also outline how plans and actions will contribute to the achievement of the GGA, including enhancing adaptive capacity, reducing vulnerability and building resilience - all in the context of sustainable development. In addition, this feature could also include good practices and lessons learned at different sectoral and geographical levels, progress of which will be considered at the global stocktake.

### ***Implementation and Support Needs***

Adaptation communications should also include the means of implementation - including finance, technology development and transfer and capacity building - that countries' require to implement adaptation actions in respect of the global temperature goal. This feature of the adaptation communication could also include information about loss and damage. There is a need for agreed methodologies for estimating the cost of adaptation and other adaptation needs.

This work is being undertaken by the Adaptation Committee in response to the request made in paragraph 42(b) of decision 1/CP.21 and further information on how the AGN foresees this work can be undertaken will be communicated in its submission to the call for submissions by the Adaptation Committee and the LEG. The outcome of this work will contribute to the aggregation of adaptation costs and needs to assess progress towards the GGA, and will contribute to assessing the adequacy of adaptation support provided to developing countries in respect of their needs as part of the global stocktake (Article 7.14(c)).

Having recognised the relationship between global temperature increases and the necessary adaptation action and means of implementation needed to adequately adapt to temperature increases both in the three goals as formulated in the purpose of the Agreement (Article 2.1) as well as in Article 7.4, the information on implementation and support needs should be based on, and informed by temperature scenarios, outlining needs associated with the implementation of the plans for an upcoming commitment cycle, be it at the national level of analysis, or with specific needs per sector as appropriate, including the national use of approaches.

In determining and communicating their needs, as well as in reporting the actual means of implementation, including finance, received under the transparency framework (Articles 13.10 and 11) it is important that developing countries require capacity-building support. This constitutes important information where the 'communicated needs' be assessed against indicative support provided by developed countries in the context of Article 9.5. As such, the global stocktake can assess how delivered finance compares to needs, and how pledged finance compares to needed finance.

### ***Recognition of Adaptation Efforts***

Adaptation communications should also recognize the adaptation efforts of developing countries. Developing countries are already making significant investments in adaptation as it is imperative that they act now in order to avoid further loss and damage and setbacks to sustainable development. This information could provide details of actions in a preceding five-year-period, outlining information on the types of programmes/projects undertaken, and national adaptation investments made per sector for a previous period of implementing NDCs.

This assessment of adaptation efforts should include information about national climate change policies and plans as well as those that might not be included in national climate change strategies and actions but which are adaptation nonetheless. This could be reflected as a percentage of GDP or absolute figures, as appropriate. Further information about how we see the process of recognition of developing countries' adaptation efforts will be provided in the AGN's response to the call for submission by the Adaptation Committee and the LEG.

### ***Indicative Adaptation Support (developed countries)***

The Paris Agreement also includes commitments for developed countries to continue providing financial resources to developing countries (Article 9.1). In doing so, developed countries are further obliged to provide information on the finance provided and mobilised on a biennially basis (Article 9.7) and indicative quantitative and qualitative information of levels of support they intend to provide to developing countries (Article 9.5), both on a biennial basis.

In doing so, developed country Parties should provide information regarding sectors, geographies/regions targeted, and type of support in terms of grant/loan components. From a transparency perspective, it is important that developed countries report on the type of information outlined in the indicative adaptation support to assess the adequacy of support provided to developing countries against their needs at the global stocktake (Article 7.14(c)) building from the agreed tabular format in decision 9.CP/21. Given that the indicative support will be communicated by developed countries on a biennial basis, the UNFCCC secretariat could produce a synthesis report of the last two biennial communications that are provided in the 5-year cycle to serve as an input to the global stocktake.

## **4. Conclusion**

Adaptation communications are an important tool for countries to communicate their adaptation needs and priorities, plans and actions as well as indicative levels of support for developed countries and for recognising the adaptation efforts of developing countries. In adopting the Paris Agreement Parties took a significant step towards achieving material parity between mitigation and adaptation which is also reflected in Nationally Determined Contributions encompassing all elements, including adaptation. Recognising capacity constraints many developing countries are facing, the Paris Agreement provides flexibilities for countries that need it in light of their national circumstances to use other vehicles to communicate their adaptation communications such as through National Adaptations Plans or National Communications. The Paris Agreement provides a general framework on the features of information Parties will communicate in their adaptation communications, i.e. vulnerability and priorities, plans and actions, implementation and support needs, recognition of efforts for developing countries, and indicative support and support provided in the case of developed countries. These features, however, require further clarity on the type of information for each features and the modalities for operationalising the concept of NDCs and to enable Parties to evaluate the aggregate effect of the adaptation communications at the global stocktake, which is important to track the progress made in achieving the purpose of the Agreement, including its three global goals.

In Marrakesh, at COP 22, it is imperative for Parties to conclude on the features of the adaptation communications and to give further mandates to Convention bodies and other bodies such as the IPCC to make progress in operationalising the adaptation provisions of the Agreement. These mandates should also build upon and support the work that the Convention bodies, such as the Adaptation Committee, the LEG and the Standing Committee on Finance, have received on developing methodologies and guidelines to operationalise the global goal for adaptation and the different elements that will be considered at the global stocktake.

## Annex 1: List of Adaptation-relevant Provisions in the Paris Agreement

- **Article 2.1: Formulates and reiterates the links between the three global goals related to temperature increases and mitigation action, adaptation and the need for finance to enable both mitigation and adaptations.**

This Agreement, in enhancing the implementation of the Convention, including its objective, aims to strengthen the global response to the threat of climate change, in the context of sustainable development and efforts to eradicate poverty, including by:

- (a) Holding the increase in the global average temperature to well below 2 °C above pre-industrial levels and pursuing efforts to limit the temperature increase to 1.5 °C above pre-industrial levels, recognizing that this would significantly reduce the risks and impacts of climate change;
- (b) Increasing the ability to adapt to the adverse impacts of climate change and foster climate resilience and low greenhouse gas emissions development, in a manner that does not threaten food production; and
- (c) Making finance flows consistent with a pathway towards low greenhouse gas emissions and climate-resilient development.

- **Article 3: Sets the context for NDCs and provides that NDCs cover all elements including mitigation, adaptation, finance, technology development and transfer and capacity-building and transparency of action and support.**

As nationally determined contributions to the global response to climate change, all Parties are to undertake and communicate ambitious efforts as defined in Articles 4, 7, 9, 10, 11 and 13 with the view to achieving the purpose of this Agreement as set out in Article 2. The efforts of all Parties will represent a progression over time, while recognizing the need to support developing country Parties for the effective implementation of this Agreement.

- **Article 7.1: Formulates the global goal for adaptation, its assessment towards achieving it constitutes part of the global stocktake.**

Parties hereby establish the global goal on adaptation of enhancing adaptive capacity, strengthening resilience and reducing vulnerability to climate change, with a view to contributing to sustainable development and ensuring an adequate adaptation response in the context of the temperature goal referred to in Article 2.

- **Article 7.3: Provides for the recognition of adaptation efforts made by developing countries, which will also be considered at the global stocktake.**

The adaptation efforts of developing country Parties shall be recognized, in accordance with the modalities to be adopted by the Conference of the Parties serving as the meeting of the Parties to this Agreement at its first session.

- **Article 7.4: Recognises the link between mitigation (in) action, adaptation needs and costs.**

Parties recognize that the current need for adaptation is significant and that greater levels of mitigation can reduce the need for additional adaptation efforts, and that greater adaptation needs can involve greater adaptation costs.

- **Article 7.10: Introduces the adaptation communications and the type of information Parties should communicate through them.**

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.

- **Article 7.11: Provides flexibility for developing countries in using different vehicles to communicate adaptation communications.**

The adaptation communication referred to in paragraph 10 of this Article shall be, as appropriate, submitted and updated periodically, as a component of or in conjunction with other communications or documents, including a national adaptation plan, a nationally determined contribution as referred to in Article 4, paragraph 2, and/or a national communication.

- **Article. 7.12: Provides for all adaptation communications, e.g. regardless of the vehicle used, to be recorded in a public registry.**

The adaptation communications referred to in paragraph 10 of this Article shall be recorded in a public registry maintained by the secretariat.

- **Article. 7.14: Provides for the adaptation-related aspects that will be considered at the global stocktake.**

The global stocktake referred to in Article 14 shall, inter alia:

- (a) Recognize adaptation efforts of developing country Parties;
- (b) Enhance the implementation of adaptation action taking into account the adaptation communication referred to in paragraph 10 of this Article;
- (c) Review the adequacy and effectiveness of adaptation and support provided for adaptation; and
- (d) Review the overall progress made in achieving the global goal on adaptation referred to in paragraph 1 of this Article.

- **Article 9.1: Provides for developed countries to provide financial resources for adaptation and mitigation to developing countries**

Developed country Parties shall provide financial resources to assist developing country Parties with respect to both mitigation and adaptation in continuation of their existing obligations under the Convention.

- **Article 9.5: Provides for developed countries to provide qualitative and quantitative information on indicative finance to be provided to developing countries on a biennial basis.**

Developed country Parties shall biennially communicate indicative quantitative and qualitative information related to paragraphs 1 and 3 of this Article, as applicable, including, as available, projected levels of public financial resources to be provided to developing country Parties. Other Parties providing resources are encouraged to communicate biennially such information on a voluntary basis.

- **Article 9.7: Provides for developed countries to provide information on support provided and mobilized for developing countries on a biennial basis.**

Developed country Parties shall provide transparent and consistent information on support for developing country Parties provided and mobilized through public interventions biennially in accordance with the modalities, procedures and guidelines to be adopted by the Conference of the Parties serving as the meeting of the Parties to this Agreement, at its first session, as stipulated in Article 13, paragraph 13. Other Parties are encouraged to do so.

- **Article 13.5: Provides information about the type of information that will be considered in the framework for transparency of action, including adaptation.**

The purpose of the framework for transparency of action is to provide a clear understanding of climate change action in the light of the objective of the Convention as set out in its Article 2, including clarity and tracking of progress towards achieving Parties' individual nationally determined contributions

under Article 4, and Parties' adaptation actions under Article 7, including good practices, priorities, needs and gaps, to inform the global stocktake under Article 14.

- **Article 13.6: Provides information about the type of information that will be considered in the framework for transparency of support, including adaptation.**

The purpose of the framework for transparency of support is to provide clarity on support provided and received by relevant individual Parties in the context of climate change actions under Articles 4, 7, 9, 10 and 11, and, to the extent possible, to provide a full overview of aggregate financial support provided, to inform the global stocktake under Article 14.

- **Articles 13.8: Provides for the information Parties should provide on adaptation under the transparency framework of action and support.**

Each Party should also provide information related to climate change impacts and adaptation under Article 7, as appropriate.

- **Article 13.9: Provides for developed countries to provide information on the means of implementation provided to developing countries.**

Developed country Parties shall, and other Parties that provide support should, provide information on financial, technology transfer and capacity-building support provided to developing country Parties under Articles 9, 10 and 11.

- **Article 13.10: Provides for the type of information developing countries should provide on the means of implementation needed and received.**

Developing country Parties should provide information on financial, technology transfer and capacity-building support needed and received under Articles 9, 10 and 11.

- **Article 13.11: Introduces the technical expert review that Parties have to undergo and the need for capacity-building for developing countries in meeting their reporting obligations.**

Information submitted by each Party under paragraphs 7 and 9 of this Article shall undergo a technical expert review, in accordance with decision 1/CP.21. For those developing country Parties that need it in the light of their capacities, the review process shall include assistance in identifying capacity-building needs. In addition, each Party shall participate in a facilitative, multilateral consideration of progress with respect to efforts under Article 9, and its respective implementation and achievement of its nationally determined contribution.

- **Article 14.1: Establishes the global stocktake and provides for its consideration of all elements, including mitigation, adaptation and means of implementation, as well as equity and science.**

The Conference of the Parties serving as the meeting of the Parties to this Agreement shall periodically take stock of the implementation of this Agreement to assess the collective progress towards achieving the purpose of this Agreement and its long-term goals (referred to as the "global stocktake"). It shall do so in a comprehensive and facilitative manner, considering mitigation, adaptation and the means of implementation and support, and in the light of equity and the best available science.

- **Article 14.3: Provides for the outcome of the global stocktake to inform Parties in updating and enhancing their actions and support**

The outcome of the global stocktake shall inform Parties in updating and enhancing, in a nationally determined manner, their actions and support in accordance with the relevant provisions of this Agreement, as well as in enhancing international cooperation for climate action.

## Paper no. 10: Mexico on behalf of the Environmental Integrity Group

Environmental Integrity Group (EIG)

09.2016

Liechtenstein, Mexico, Monaco, Republic of Korea, Switzerland

## Further guidance in relation to the adaptation communication

The Environmental Integrity Group (EIG) recognizes that several submitted INDCs include an adaptation component and supports the statement of the Paris Agreement that adaptation is a global challenge that must be faced at international, regional, national, subnational and local levels.

The EIG then considers that the Adaptation Communications could include the linkages of those dimensions, particularly the ones related with inter-Parties (i.e. South – South cooperation) or regional efforts, that aim to address shared issues (such as water or biodiversity). In referring to regional efforts in Adaptation Communications, parties can illustrate

- a. The procedures for sharing information, experiences and lessons learned that can strengthen their scientific knowledge on climate,
- b. The conceptual frameworks and approaches adopted to develop national adaptation policies, particularly those that include territorial approaches, such as basins or ecosystems based approaches.
- c. The results of the studies concerning regional climate change **detection and attribution**, especially those related to water and food security,
- d. Their progress on ecosystem – based adaptation achievements, including the integration of traditional ecological knowledge, as appropriated.
- e. The methodologies applied to assess vulnerability reductions and increased of resilience in the most vulnerable communities
- f. The strengthening of sub-national, national and regional early warning systems and other climate services for relevant sectors including health and agriculture.
- g. The actions taken to include vulnerable groups, human rights and gender responsiveness in their adaptation strategies.
- h. The evaluation of the actions that include adaptation - mitigation co-benefits, such as conservation and restoration of coastal wetlands and blue carbon sequestration and storage, or even the reduction of emissions of black carbon, or other short lived climate pollutants (SLCPs), that contribute to atmospheric radiative forcing and have negative effects on human and ecosystems health.

EIG also wants to highlight the importance that those efforts do **not create additional burden** for all Parties, but include information on adaptation as part of existing reporting mechanisms under the Convention. For example, Parties can strengthen their National Communications, or include their achievements in the adaptation processes as part of their five – year NDCs. The information could include for example:

- a) Description of the methods or tools applied to **monitor and evaluate** their adaptation actions
- b) Priority action areas,
- c) Plans or programs to achieve their expected goals
- d) Actions takes to improve the effectiveness and durability of the adaptation actions,
- e) The need for financial and technical support, if applicable.



The EIG underlines that Parties are free in choosing the form of their adaptation communications. They can do as a component of or in conjunction with other communications or documents. While some Parties have included an adaptation component in their INDCs, others have submitted separate communications on adaptations. Moreover, several Parties may still submit independent adaptation communications. No guidance exists so far on how this could be done. Therefore, it is important to provide further guidance on how adaptation communication can be submitted, either as a separate communication, in conjunction with or as component of another communication or document. Also, existing communications or documents that include an adaptation component (NAPs, NAPAs, NDCs and etc.) needs to be streamlined to avoid duplication and additional burden for Parties. In order for efficient discussion on the type of adaptation communication, common elements of adaptation communication for global stocktake need to be discussed as well.

The EIG suggests that Parties can reinforce their adaptation communications by including the assessments from the current conditions, and how they have changed or improved regarding their adaptation plans, programs, and actions, taking into consideration particularly the most vulnerable communities and ecosystems, and emphasizing the gaps on knowledge and technical capacities.

Paper no. 11: New Zealand

**NEW ZEALAND****Submission to the APA on Adaptation  
26 September 2016****Context**

The conclusions of the first session of the Ad Hoc Working Group on the Paris Agreement (APA) invite Parties to submit views on, inter alia, further guidance in relation to the adaptation communication, including as a component of nationally determined contributions, referred to in Article 7, paragraphs 10 and 11, of the Paris Agreement. We note that the purpose of the submissions sought by the APA is to focus its work.

2 Article 7, paragraph 10, of the Paris Agreement states 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. Article 7, paragraph 11, states that the adaptation communication referred to in paragraph 10 of this Article shall be, as appropriate, submitted and updated periodically, as a component of or in conjunction with other communications or documents, including a national adaptation plan, a nationally determined contribution as referred to in Article 4, paragraph 2, and/or a national communication.

**Adaptation Communications**

3 New Zealand welcomes the Paris Agreement's emphasis on adaptation planning processes and implementation of actions. We recognise that adaptation communications can provide a useful vehicle for countries that choose to use them for highlighting the actions they are taking to respond to the impacts of climate change and in particular, communicating forward-looking components such as plans and support needs as appropriate.

4 From Articles 7.10, and 7.11 of the Paris Agreement (quoted in paragraph 2 above) New Zealand makes the following observations:

- Adaptation communications are not mandatory
- The updating and submission of an adaptation communication is not to create any additional burden on developing countries
- If a Party chooses to make an adaptation communication there is flexibility in how this is done i.e. as a component of, or in conjunction with other communications or documents.
- Some guidance on content of adaptation communications is given in Article 7.10 (i.e. priorities, implementation and support needs, plans and actions), but this is prefaced with "may include" offering further flexibility to each Party.

5 There are several existing channels for Parties to communicate adaptation actions and (as appropriate) needs. Parties that place a high priority on being able to communicate adaptation needs don't need to wait for further guidance on adaptation communications under the Paris Agreement in order to do this. National communications are designed to serve this purpose already. Moreover, the current national adaptation plan process enables Parties to formulate and implement national adaptation plans (NAPs) as a means of identifying medium- and long-term adaptation needs and developing and implementing strategies and programmes to address those needs.

6 However, it may be useful for those Parties that choose to submit adaptation communications to have some high-level guidance on the potential content of those communications.

### **Other work streams**

7 In discussing further guidance on adaptation communications we need to be conscious of, and deliberate in making, linkages with other work-streams that also create a need to report adaptation information, and/or use adaptation information. Of particular relevance are Article 13 (transparency), and Article 14 (global stocktake).

8 The Paris Agreement is not clear on how the adaptation communications under Article 7 relate to the provisions of Article 13 (Transparency). Amongst other things, the purpose of the framework for transparency of action (as described in Article 13, paragraph 5) is to provide a clear understanding of climate change action, including Parties' adaptation actions under Article 7. This may include good practices, priorities, needs and gaps. But even in Article 13 (Article 13.8), the instruction to provide information related to climate change impacts and adaptation under Article 7 is a "should" i.e. reporting this information is not made mandatory by Article 13 either. This contrasts with the language in the chapeau of Article 13.7 (on national inventory reports and providing information to track progress made in implementing and achieving NDCs) which is "each Party shall".

9 While still maintaining flexibility to Parties to report on adaptation plans, actions and needs in a way that best suits their own circumstances, a possible solution to the relationship between adaptation communications under Article 7 and reporting on climate change impacts and adaptation under Article 13, is to have adaptation communications be forward-looking and reporting under the transparency framework being backward-looking.

10 The relationship between adaptation (Article 7) and the global stocktake (Article 14) is outlined in Article 7.14. The global stocktake under Article 14 is to (amongst other things) enhance implementation of adaptation action taking into account the adaptation communication (Article 7.14 (b)), and review the overall progress made in achieving the global goal on adaptation (Article 7.14(d)). Acknowledging that adaptation communications have a relationship with the global stocktake suggests that the guidance for adaptation communications could, amongst other aspects

of the guidance, help generate useful inputs to the stocktake. However we will need more information about the form and process for the stocktake to know how this will work in practice which leads to an iterative process. This suggests that a useful starting point for the elaboration of guidance for adaptation communications should be Article 7.10 – providing a means for Parties to communicate “priorities, implementation and support needs, plans and actions” and that better defining the relationship to the global stocktake could come a little later.

### **Mode of work**

11 It would be useful for the secretariat to compile the existing guidance for reporting adaptation actions and needs (as appropriate). This would include the reporting guidelines for national communications for both Annex I and non-Annex I Parties, and the NAP guidelines. This could form a useful input to the work under APA agenda item 4.

### **Conclusion**

12 Given the non-mandatory nature of adaptation communications, the flexibility already granted to Parties in terms of the “vehicle” for reporting and the content, and the need to not create any additional burden on developing countries, New Zealand’s view is that any guidance on adaptation communications should be very high level and applicable to all Parties (as appropriate). Development of this high level guidance can be informed by the existing reporting guidelines for national communications under the UNFCCC (for both Annex I and non-Annex I Parties) as well as the NAPs process, alongside the development of the modalities, procedures and guidelines for transparency under Article 13.

13 New Zealand looks forward to discussions on this issue at the next meeting of the APA.

## Paper no. 12: Papua New Guinea\*

The APA invited Parties to submit by **30 September 2016**, their views on the following items on the APA agenda, in order to focus the work of the APA:

Papua New Guinea (PNG) wishes to thank the ADP co-chairs for their hard work during Bonn; and the open invitation allowing parties to provide views on Agenda Items 3-6. As such PNG, has collated and put forward the following initial views below;

**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”;**

PNG believes that this agenda item is very important to many parties. Especially for those without any emissions profile or low emissions profile; they see adaptation as a priority for balance consideration when implementing the Paris Agreement through NDCs as well

As such PNG would like to propose two steps of addressing this agenda;

***Step 1: Adaptation can be a summary of all actions under an NDC document***

The Adaptation Component can be a summary of all Adaptation actions, and programs; activities undertaken, supported and implemented in a country. This will be a separate summary for inclusion into the existing NDC document for submission in consistent with Para2 of Article 4

This shall also take into account existing NDCs submitted by Parties and the information they have provided. This information should be restricted to a summary bearing in mind Article 7 para 10-11. At this stage it would be a risk to detach it from the NDC considering the sensitivity surrounding concerns from most Parties, however PNG is optimistic that maybe the first review period a proper consideration on how to improve harmony between mitigation and adaptation implementation shall compel a clear demarcation of where this adaptation communication will be permanently parked

***Step 2: National Adaptation Plans Registered within a Public Registry to be separate from NDCs***

In fulfilment of para10-11 of Article 7; a Public Registry must be maintained by the Secretariat to receive and register National Adaptation Plans. These adaptation plans should include information on specific activities, national projects, targets, objectives and goals on adaptation by identifying, coordinating and monitoring projects that supports specific adaptation solutions that protect people against the risk of climate change.

***Step 3: Expanded Reporting on Climate Change Impacts and Adaptation***

PNG would also propose a consideration to expand on the reporting requirements on adaptation so it also complements the global stocktake process to be undertaken on mitigation. The current

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\* Sections of this submission relating to item 3 of the agenda of the APA are contained in document FCCC/APA/2016/INF.1, sections relating to item 5 in document FCCC/APA/2016/INF.3, and sections relating to item 6 in document FCCC/APA/2016/INF.4.

Vulnerability Assessment requirement contained within National Communications can be reviewed so that they are compatible with the requirement on the production and submission of National Adaptation Plans which will serve as the official Adaptation Communication to the UNFCCC.

Paper no. 13: United States of America

**Submission by the United States on further guidance in relation to the adaptation communication**

The United States welcome this opportunity to submit views related to APA 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”. Our submission focuses on the following topics: the role of the adaptation communication, the nature of the communication, the relationship between the communication and the vehicle through which it is submitted, and a menu of options that could be included as elements of a communication.

The Paris Agreement, in its Article 7, provides as follows:

- 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 (Article 7, paragraph 10).
- The adaptation communication referred to in paragraph 10 of this Article shall be, as appropriate, submitted and updated periodically, as a component of or in conjunction with other communications or documents, including a national adaptation plan, a nationally determined contribution as referred to in Article 4, paragraph 2, and/or a national communication (Article 7, paragraph 11).
- The adaptation communications referred to in paragraph 10 of this Article shall be recorded in a public registry maintained by the secretariat (Article 7, paragraph 12).
- The global stocktake referred to in Article 14 shall, inter alia: Enhance the implementation of adaptation action taking into account the adaptation communication referred to in paragraph 10 of this Article (Article 7, paragraph 14, sub-paragraph b)

**Role of the adaptation communication**

The adaptation communication offers a unique opportunity for countries and the global community to advance adaptation efforts. The United States sees value in the APA elucidating the benefits of the communication, while maintaining the flexibility Parties need to effectively communicate about their adaptation actions. The guidance on the adaptation communication could acknowledge the various roles or purposes that the adaptation communication can play in advancing adaptation, and in doing so, can help inform the contents of the communication. For example, the adaptation communication could serve as the vehicle for showcasing, in a distilled manner that is accessible to a wide range of readers, a country’s national adaptation planning process. National adaptation planning is the bedrock for successful adaptation, and enables coherent whole-of-government approaches as well as effective national-subnational coordination. Adaptation planning is also an important element in the Paris Agreement and in many of the NDCs submitted by Parties. National adaptation planning processes, whether captured in a National Adaptation Plan (NAP) process, national climate change response strategy, a climate resilience action plan, or in another form, are often too long, too technical, or too detailed to be accessible to a broad audience. Using the adaptation communication to provide an “executive summary” can be an invaluable communication tool in this regard.

The adaptation communication also offers a unique opportunity to maintain the high profile of adaptation achieved in the Paris Agreement, by spotlighting, on a global stage, the importance that countries place on adaptation and the leadership they are taking in addressing their climate risks. It offers an opportunity to send a signal to both domestic and international audiences on why adaptation is critical for achieving climate

goals and safeguarding development gains. Like mitigation contributions, which represent political commitments at the highest levels, adaptation communications can offer the opportunity to rally a broad array of domestic stakeholders, including planning and finance ministries, subnational actors, civil society and the private sector, behind the importance of the issue.

In terms of the impetus they can create, bringing together relevant domestic actors and garnering high-level domestic attention, the adaptation communication provides an additional opportunity for a country to set goals and priorities. For any given country, climate vulnerabilities will be many and varied. The adaptation communication can be an opportunity for a country to think through its various vulnerabilities and develop priorities and sequencing, and to set overarching goals for achieving those priorities.

Insofar as the communications serve as clear articulations of country's priorities, domestic decision-makers and bilateral and multilateral donors may find the communications as offering useful information on a country's plans and efforts. Given the voluntary nature of adaptation communications, however, the United States would like to stress that it will continue to provide adaptation support to vulnerable developing countries, regardless of how they choose to communicate about their adaptation activities. We also stress that we will continue to rely on our long-standing process of joint discussions with developing country partners to inform the nature of adaptation support provided.

Finally, article 7, paragraph 14 of the Paris Agreement states that the adaptation communication will be taken into account in the global stocktake, which will enhance the implementation of adaptation action. Details on how the adaptation communications will be taken into account in the global stocktake will be discussed in the context of technical work on the stocktake work.

### **Nature of the adaptation communication**

In keeping with Article 7, paragraphs 10 and 11, it is important that further guidance preserve flexibility as a fundamental principle of the adaptation communications. This is reflected in the voluntary nature of the communications, and the injunction that they not create additional burden for developing countries. The Paris Agreement also specifically provides for flexibility on the content of communications, highlighting a few possible topics (priorities, implementation and support needs, plans and actions). Flexibility is further apparent in the multiple vehicles with which a communication can be submitted. The Agreement highlights the national adaptation plan, the nationally determined contribution and the national communication, but some Parties may see value in choosing another vehicle or in submitting a standalone communication. And finally, flexibility is accorded in the periodicity of the communication. A Party that sees value in submitting an adaptation communication every few years may decide to submit one in conjunction with its national communication or nationally determined contribution. For other Parties, including those that choose to submit standalone adaptation communications, the periodicity may be more frequent, or may occur at irregular intervals. The United States, for example, reviews and updates its national adaptation priorities on a yearly basis but may choose to communicate about our efforts at different intervals.

### **Menu of possible elements that could be included in an adaptation communication.**

Further guidance on the communications could highlight the value of a menu of options or elements that could be included in communications, in order for the communications to fulfill the roles or achieve the purposes described above. In order to preserve the flexibility provided in the Agreement, any guidance on elements should be fairly high-level and general in nature.

The Agreement highlights that, as a non-exhaustive list, communications may include priorities, implementation and support needs, plans and actions. More specifically, and in keeping with the potential



value of using the communication to provide a high-level summary of a national adaptation planning process, Parties might see value in using the communication to highlight some of the fundamental topics included in an adaptation planning process, such as:

- The development context in which adaptation actions take place, e.g., key sectors for growth – adaptation actions should help to safeguard development gains and also present an opportunity to pursue economic development activities.
- Climate risks and vulnerabilities, in both the short and long-terms – while focusing on present risks is essential, incorporating likely future risk into decision-making and prioritization helps ensure that Parties don't lock themselves into maladaptive behaviors in the long term.
- Adaptation options identified in relation to the development context and risks and vulnerabilities, e.g., process to prioritize addressing vulnerabilities and to pursue specific adaptation options
- Implementation strategies, e.g., an overview of the main aspects of a country's plan to go from adaptation goals and priorities to action.
- Monitoring and evaluation process, e.g., how a country ensures that its adaptation actions are effective.

### **Relationship between adaptation communication and the vehicles named in the Paris Agreement**

In light of the need to avoid undue burden, and given the undesirability of duplication of efforts, the United States offers the following views on how the adaptation communication can enhance the named vehicles with which it may be submitted.

- **National adaptation plan** – as with the adaptation communication, national adaptation planning is a country-driven process. As such, each country that produces a national adaptation plan and decides to undertake a communication will have to decide how to avoid duplication of efforts. As described above, we suggest using the communication as an executive summary of the more in-depth plan or planning process. As such, Parties avoid duplication of efforts while increasing their ability to reach a broad audience with details about their adaptation actions.
- **Nationally determined contribution** – Article 4 highlights that Parties must prepare, communicate and maintain successive mitigation contributions. To the degree a Party sees value in submitting or updating an adaptation communication, as a component of or in conjunction with its nationally determined contribution, the Party should clearly delineate the adaptation communication to avoid obscuring the mitigation contribution and to ensure that its adaptation efforts are clearly recognizable to interested audiences.
- **National communication** – many of the adaptation elements included in a national communication overlap with central elements of a national adaptation planning process. When submitted with a national communication, the adaptation communication could be a summary of national adaptation planning or a national adaptation plan. At the least, Parties should avoid duplicating their national communication when undertaking an adaptation communication.

Regardless, when submitting an adaptation communication as a component of or in conjunction with another vehicle, Parties should clearly delineate their adaptation communication so that it can be appropriately uploaded by the secretariat to the adaptation registry called for in Article 7, paragraph 12<sup>1</sup>.

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<sup>1</sup> It should be noted, of course, that Parties that choose to communicate about adaptation efforts with mitigation co-benefits should be able to have their communications reflected in the registry called for in Article 7, or the one called for in Article 4 (or both).

The United States appreciates the opportunity to share its views on the APA agenda item “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”. We look forward to further discussing these concepts at COP22 and beyond.

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