

Draft elements for APA agenda item 4

“Further guidance in relation to the adaptation communication, including, inter alia, as a component of NDCs, referred to in Article 7, paragraphs 10 and 11, of the Paris Agreement”

Informal note by the co-facilitators – second iteration

6 May 2018

This informal note has been prepared by the co-facilitators of the negotiations on this agenda item under their own responsibility, on the basis of the deliberations by Parties at this session and the views they have submitted. This informal note is preliminary and should not be considered as final in any way; it is offered as a basis for work and does not prejudice further work or prevent Parties from expressing their views at any time. It is recognized that the outcome of deliberations on this item will form part of the overall outcome under the Paris Agreement Work Programme.

Relevant context

- The content of the informal note is not exhaustive, does not represent agreed views, ideas or text. Different views on the various sections and proposals have been expressed. Options have been indicated where they have been articulated by Parties to date.
- There are two proposals for this guidance: (1) single/common guidance applicable to any vehicle chosen by a Party to convey their adaptation communication; and (2) vehicle-specific guidance. These proposals are presented as not mutually exclusive. This co-facilitator’s note in no way prejudices Parties’ views on this issue.
- In the section on elements in annex I, the text in italics provides descriptions drawn from the submissions of the types of information that have been suggested in relation to some of the elements and does not represent convergence among Parties. This is intended to provide a broader idea on possible information that the elements may include if a Party chooses to do so, subject to its availability and applicability. It is not intended to provide a prescriptive nor exhaustive description of the elements, given that adaptation actions follow a country driven approach. At the same time this does not preclude the addition of similar types of information in the other sections.
- At the previous session, Parties have undertaken a focused discussion on general headings and identified options. They have not yet undertaken any discussions on the specific bullet points below each heading. With regard to the content under each heading, some in-depth discussion has taken place to date, and a number of Parties have highlighted the need to further streamline proposals and cluster the content into different options.
- Some Parties proposed to “request the IPCC to prepare a methodology report to provide guidelines on a suite of methodologies and approaches for communicating adaptation information, according to Article 7.10 and 7.11, that facilitate aggregation towards understanding collective progress towards adaptation goals”. Other Parties expressed opposition to the proposal.

DECISION¹

1. Preamble

- References to relevant UNFCCC provisions
- References to relevant Paris Agreement provisions, including its Articles 2, 3, 7, 9, 10, 12, 13, and 14
- Importance of the adaptation communication for achieving the global goal on adaptation
- Role of the adaptation communication for achieving mitigation and adaptation goals under the Paris Agreement
- Define linkages, in particular the role of adaptation communication in the global stocktake, as well as the relationship with the transparency framework
- Importance of flexibility
- An adaptation communication is not mandatory
- An adaptation communication should not pose an additional burden
- An adaptation communication should not be a basis for comparisons between Parties
- ...

2. Purpose

Option 1:

- Communicate national adaptation priorities, implementation and support needs, and plans and actions
- Contribute and inform progress towards the global goal for adaptation, and inform the review of overall progress towards that goal
- Provide input to the global stocktake
- Recognition of adaptation efforts
- Strengthen visibility and profile of adaptation / parity with mitigation
- Enhance and catalyse actions and support for developing countries
- Facilitate clarity, transparency and understanding of adaptation actions and support provided
- Enhance understanding of adaptation needs
- Help countries build and retain capacity
- Enhance learning and understanding of adaptation by sharing lessons, experiences, evidence and good practices
- Inform future decisions under the UNFCCC on adaptation
- ...

Option 2:

A. Purpose of this guidance

- Assist Parties in submitting and updating an adaptation communication
- Assist Parties in communicating information referred to in Article 7.10 (priorities, implementation and support needs, plans and actions)
- Facilitate learning, cooperation, and support
- ...

B. Purpose of an adaptation communication

- Communicate national adaptation priorities, implementation and support needs, and plans and actions
- Contribute and inform progress towards the global goal for adaptation
- Provide input to the global stocktake

¹ The structure of this document is without prejudice to the form of the final outcome of the work of the APA.

- Recognition of adaptation efforts
- Strengthen visibility and profile of adaptation / parity with mitigation
- Enhance actions and support for developing countries
- Enhance learning and understanding of adaptation, sharing experiences and good practices
- ...

Option 3:

- Contribute and inform progress towards the global goal for adaptation
- Enhancing support for adaptation actions and plans/catalyse support to implement communicated adaptation action for developing countries
- Raise the profile of adaptation/parity with mitigation
- Communicate national adaptation actions, plans, priorities, implementation and support needs.
- Provide input to the global Stocktake
- ...

3. Option 1: Adoption of the guidance

- Adopting the guidance
- ...

Option 2: No heading

4. Option 1: Principles

- Common but different responsibilities and respective capabilities in light of different national circumstances
- Equity
- National context, country-drivenness and respect for national sovereignty
- Context of sustainable development and poverty eradication
- No creating additional burden on developing country Parties
- No comparison between developing country Parties nor review
- Flexibility in terms of the reporting vehicle
- Recognizing the specific needs and special circumstances of developing country Parties, especially those that are particularly vulnerable to the adverse effects of climate change, as provided for in the Convention
- Links between adaptation, as well as global temperature goals and levels of mitigation
- Importance of support and international cooperation
- Language of Paris Agreement Article 7.5
- Applicability to all
- ...

Option 2: No heading

5. Option 1: Modalities for communicating, submitting and updating the adaptation communication

- The adaptation communication shall be, as appropriate, submitted and updated periodically, as a component of or in conjunction with other communications or documents, including a national adaptation plan, a nationally determined contribution as referred to in Article 4, paragraph 2 of the Paris Agreement, and/or a national communication
- The adaptation communications shall be recorded in a public registry maintained by the secretariat in accordance with the modalities and procedures being developed by the SBI
- Timing to start applying the guidance, e.g. immediately upon its adoption
- Any information that could be useful in clarifying adaptation communications

- According to the flexibility in Article 7.10 and 7.11 of the Paris Agreement: language of Article 7.11
- Provisions related to building on, and taking into account, current guidelines for existing vehicles
- Flexibility to use different vehicles at different times, or multiple vehicles
- Decision of supplementary information according to the vehicle, as appropriate
- Timing/frequency in relation to the vehicle
- Adaptation communication should be clearly identified, from beginning to end, within the vehicle, including by numbering the first and subsequent adaptation communication
- ...

Option 2: No heading²

6. Option 1: Modalities to update/revise/review the guidance

- The guidance contained in annex [X] to be revised by the session of the CMA in [X];
- An invitation to Parties to submit experiences on the use of the guidance to assist the revision by [date]
- Secretariat to prepare a synthesis report of the submission presented by Parties by [date]
- Take stock of, and if necessary revise, the further guidance contained in this decision at the [X] session of the CMA, taking into account, inter alia, the experience of Parties in implementing it
- ...

Option 2: No heading

7. Option 1: Modalities of support for the preparation, updating and implementation of the adaptation communication

- Provision of support for the preparation and submission of the adaptation communication for developing countries
- Recognition of the availability of support for the preparation of adaptation communications through existing financial institutions under the Convention
- Provision of support for the implementation of the needs, priorities, plans and strategies for developing countries included in the adaptation communication according to Article 7, paragraph 13, of the Paris Agreement
- Finance, technology and capacity-building to be provided by developed country Parties to developing country Parties according to the modalities of provision of support to be developed
- Developed country Parties to mobilize continuous and enhanced international support for the preparation, submission, update and implementation of adaptation communications by developing countries
- Request the Global Environment Facility and GCF to provide support for preparation, submission, and updating
- Request GCF, GEF, and AF, to provide support for implementation
- Request CTCN and PCCB, to provide support for the implementation of the adaptation communication
- Provisions related to reporting on support to be addressed under APA item 5
- Placeholder on the mandate of the AC/LEG/SCF on the mobilization of support
- ...

Option 2: No heading³

² Provisions related to the flexibility of vehicles could be reflected in the preamble, and provisions for the use of different vehicles could be reflected under “approach”.

³ Provisions related to support could be reflected in the preamble.

8. Option 1: Linkages

- Global stocktake, including:
 - The purpose of the adaptation communication in the global stocktake, including to enable recognition of efforts, enhance implementation, review adequacy and effectiveness of actions and support, and review overall progress towards the global goal on adaptation
 - The purpose of the adaptation communication in the global stocktake is to enhance adaptation action as established in Article 7 paragraph 14 subliteral b
 - Modalities for operationalizing the link between the adaptation communications with the global stocktake (including, i.a. a synthesis report by the secretariat, and synchronizing the timing of adaptation communications with the global stocktake cycle), and providing a space for discussion this operationalization
- Transparency framework, including:
 - Importance of ensuring consistency of information, avoiding additional burdens on developing countries, and avoiding duplications
 - Reporting under Article 13.8 as a possible vehicle
 - Adaptation information reported by Parties should not be subject to review
 - Reporting of the implementation of the adaptation communication for recognition of efforts, understanding progress made and sharing of lessons learned
- Finance, including:
 - Availability of support to prepare an adaptation communication
 - The relationship of the adaptation communication with arrangements for support
- Technology
- Capacity-building
- Registry, including:
 - Placeholder for the modalities being developed by the SBI
 - Processing the adaptation communication after it has been recorded
- Work of the constituted bodies
- Other international processes, such as SDGs and the Sendai Framework
- Relevant cross-cutting issues
- Cross-cutting issues to be considered when developing an adaptation communication
-
- ...

Option 2: No heading⁴

⁴ Provisions related to linkages could be reflected in the preamble.

ANNEX I

Elements

- Definition and guidance note
- Explanation on how to apply the guidance
- Encouragement to use the structure for an adaptation communication, considering the discretion relevant to existing vehicles
- Encouragement to use and identify relevant methodologies and guidance

Option 1:

A. Common set of elements

- National circumstances
 - *Context information*
 - *National long-term adaptation objectives*
 - *Components of low-emission resilient development strategies*
 - *Sub-national context*
 - *Geography*
 - *Climate*
 - *Economy*
 - *Population*
 - *Information on how adaptation planning is informing national and/or sectoral development plans and implementation*
 - *Extreme weather events that have affected a country's adaptive capacity*
 - *The role of adaptation planning in informing national and sectoral development*
 - *Placeholder on further information on national circumstances*
- Impacts, vulnerabilities and risk assessments
 - *Future scenarios and risks*
 - *Key climate hazards*
 - *Modelling, projections, and scenarios*
 - *Impacts experiences and projected*
 - *Assessments of key economic, social and/or environmental vulnerabilities and risks*
 - *Assessments of adaptive capacity, taking into account vulnerable people, places and ecosystems;*
 - *Populations and sectors most at risk*
 - *Information on limits of adaptation*
 - *Information on approaches, methodologies and tools used for the assessments, and relevant uncertainties*
 - *Information on the limits of adaptation, and national assessments as well as global reports*
 - *Information on climate impacts, risks and vulnerabilities*
 - *Information on reduction of vulnerability*
 - *Information on nationally determined adaptation priorities and other hazards*
 - *Placeholder on further information on impacts, vulnerabilities and risk assessments*
- Adaptation priorities, policies, plans, actions, strategies and/or programmes, as appropriate
 - *Domestic adaptation planning processes*
 - *Implemented and planned actions, strategies and approaches*
 - *Efforts to build resilience of socioeconomic and ecological systems*
 - *Priority sectors and/or geographic areas*
 - *Information on the process to formulate and implement national adaptation plans*

- *Efforts to integrate adaptation into policies, programs and activities, in particular development planning*
 - *Information on how a Party will follow a country-driven, gender-responsive, participatory and transparent approach for their adaptation actions, taking into consideration vulnerable groups, and integrating traditional knowledge and the knowledge of Indigenous peoples and local knowledge systems into relevant actions*
 - *Institutional capacities to address climate change considerations at sub-national and sectoral level and to address cross-cutting issues and interdependencies related to climate change impacts across sectors*
 - *Information on plans and actions to build resilience of socioeconomic and ecological systems, including through economic diversification and sustainable management of natural resources*
 - *Information relating to nationally determined adaptation priorities*
 - *Development of national adaptation plans; policies; strategies and programmes*
 - *Placeholder on further information on adaptation priorities, policies, plans, actions, strategies and/or programmes, as appropriate*
- **Adaptation support needs of developing country Parties**
 - *The costs of meeting those adaptation needs (financial, technology, and capacity-building)*
 - *Domestic and international, public and private, resources needed for adaptation (international/national/sub-national, sectoral as available)*
 - *Financial instruments and/or budget provisions enabling implementation of adaptation*
 - *Domestic, international and private finance mobilization*
 - *Technology development and transfer measures and activities*
 - *Support provided, needed and received*
 - *Capacity-building provided, received and needed*
 - *Information on projected costs of priorities*
 - *Projected technical support, technology, capacity building needed*
 - *Placeholder on further information on adaptation support needs of developing country Parties*
- **Adaptation efforts of developing countries (for recognition)**
 - *Adaptation plans and actions undertaken domestically*
 - *Projects and programmes funded by domestic resources*
 - *Efforts undertaken to address extreme events*
 - *Information on list of national adaptation projects/programmes/actions*
 - *Adaptation actions and estimated needs and costs*
 - *Placeholder on further information on adaptation efforts of developing countries (for recognition)*
- **Communication of indicative projected levels of public financial resources to be provided by developed country Parties to developing country Parties, including finance, technology and capacity building**
 - *Sectors and geographic areas targeted for support*
 - *Types of support*
 - *Types of information outlined when communicating on indicative adaptation support*
 - *Total amounts to be provided by multilateral channels or by region*
 - *Placeholder on further information on communication of indicative projected levels of public financial resources to be provided by developed country Parties to developing country Parties, including finance, technology and capacity-building*

- ...
 - B. Additional / opt in opt out
- Information on adaptation actions that result in mitigation co-benefits
 - *Expected quantified emission reductions*
 - *Placeholder on further information on adaptation actions that result in mitigation co-benefits*
- Cooperative dimension at the national, regional and international level
- Progress on implementing adaptation actions and plans
- Economic diversification; information on adaptation actions and/or economic diversification plans and/or national development plans that result in mitigation co-benefits
- Adaptation efforts of developing countries (for recognition)
- Traditional knowledge or community based adaptation climate change and local communities' involvement
- Legal framework and institutional arrangements as appropriate
- Monitoring and evaluation
 - *Mechanisms to track adaptation action and outcomes*
 - *Systems to measure and track national, international and private finance for adaptation*
 - *Possible indicators of how adaptation actions have increased resilience and reduced adverse impacts in key areas*
 - *Information on effectiveness of adaptation actions*
 - *Information on approaches to monitoring and evaluation of implemented strategies and plans*
 - *Assessments of how adaptation actions influence other developments goals*
 - *Information on how participation, gender considerations, indigenous-, traditional and local knowledge have been integrated into adaptation policies and actions*
 - *Assessments on transparency of planning and implementation process*
 - *Placeholder on further information on monitoring and evaluation*
- ...

Option 2 (optional elements to be used by countries at their discretion):

- National circumstances, including population, levels of development, legal frameworks and institutions
 - *Context information*
 - *National long-term adaptation objectives*
 - *Components of low-emission resilient development strategies*
 - *Sub-national context*
 - *Geography*
 - *Climate*
 - *Economy*
 - *Population*

- *Information on how adaptation planning is informing national and/or sectoral development plans and implementation*
 - *Extreme weather events that have affected a country's adaptive capacity*
 - *The role of adaptation planning in informing national and sectoral development*
 - *Placeholder on further information on national circumstances, including population, levels of development, legal frameworks and institutions*
- **Expected impacts, risks and vulnerability and adaptive capacity**
 - *Future scenarios and risks*
 - *Key climate hazards*
 - *Modelling, projections, and scenarios*
 - *Impacts experiences and projected*
 - *Assessments of key economic, social and/or environmental vulnerabilities and risks*
 - *Assessments of adaptive capacity, taking into account vulnerable people, places and ecosystems;*
 - *Populations and sectors most at risk*
 - *Information on limits of adaptation*
 - *Information on approaches, methodologies and tools used for the assessments, and relevant uncertainties*
 - *Information on the limits of adaptation, and national assessments as well as global reports*
 - *Information on climate impacts, risks and vulnerabilities*
 - *Information on reduction of vulnerability*
 - *Information on nationally determined adaptation priorities and other hazards*
 - *Placeholder on further information on impacts, risks and vulnerability and adaptive capacity*
- **National goals related to adaptation, resilience, and reducing vulnerability**
- **Adaptation priorities, plans, strategies, planned actions, resilience-building activities and expected results**
 - *Domestic adaptation planning processes*
 - *Implemented and planned actions, strategies and approaches*
 - *Efforts to build resilience of socioeconomic and ecological systems*
 - *Priority sectors and/or geographic areas*
 - *Information on the process to formulate and implement national adaptation plans*
 - *Efforts to integrate adaptation into policies, programs and activities, in particular development planning*
 - *Information on how a Party will follow a country-driven, gender-responsive, participatory and transparent approach for their adaptation actions, taking into consideration vulnerable groups, and integrating traditional knowledge and the knowledge of Indigenous peoples and local knowledge systems into relevant actions*
 - *Institutional capacities to address climate change considerations at sub-national and sectoral level and to address cross-cutting issues and interdependencies related to climate change impacts across sectors*
 - *Information on plans and actions to build resilience of socioeconomic and ecological systems, including through economic diversification and sustainable management of natural resources*
 - *Information relating to nationally determined adaptation priorities*
 - *Development of national adaptation plans; policies; strategies and programmes*

- *Placeholder on further information on adaptation priorities, plans, strategies, planned actions, resilience-building activities and expected results*
- Economic diversification plans; information on adaptation actions and/or economic diversification plans and/or national development plans that result in mitigation co-benefits
- Co-benefits of adaptation
- Cooperation to enhance adaptation at national, regional and international levels
 - *Information related to sharing information, good practices, experiences and lessons learned*
 - *Strengthening institutional arrangements*
 - *Strengthening scientific knowledge on climate*
 - *Assisting developing countries in identifying effective adaptation practices, adaptation needs, priorities, support provided and received, and challenges and gaps*
 - *Improving the effectiveness and durability of adaptation actions, ...*
 - *Placeholder on further information on cooperation to enhance adaptation at national, regional and international levels*
- Information on synergies with other international conventions
- Implementation and support needs, including the costs of meeting those adaptation needs
 - *The costs of meeting those adaptation needs (financial, technology, and capacity-building)*
 - *Domestic and international, public and private, resources needed for adaptation (international/national/sub-national, sectoral as available)*
 - *Financial instruments and/or budget provisions enabling implementation of adaptation*
 - *Domestic, international and private finance mobilization*
 - *Technology development and transfer measures and activities*
 - *Support provided, needed and received*
 - *Capacity-building provided, received and needed*
 - *Information on projected costs of priorities*
 - *Projected technical support, technology, capacity building needed*
 - *Placeholder on further information on implementation and support needs, including the costs of meeting those adaptation needs*
- Adaptation actions currently under implementation
 - *Implementation of adaptation actions, undertakings and/or efforts*
 - *Description of actions undertaken, assessments of effectiveness of plans, changes in regulation, policies and planning, progress in adaptation actions and programmes, and in integrating adaptation into development strategies and sectoral plans*
 - *Progress and outcomes of adaptation actions;*
 - *National, subregional and/or regional capacity-building for integrating adaptation into development planning*
 - *Information on assistance provided to assist Parties particularly vulnerable to the adverse effects of climate change and having significant capacity constraints*
 - *Placeholder on further information on adaptation actions currently under implementation*
- Implementation and results achieved
 - *Progress and outcomes of adaptation action*

- *Resources invested*
- *Sources of data*
- *Relevant financial instruments*
- *Mobilization of finance from various sources*
- *Description of co-ordination action, activities carried out under adaptation plans, with assessment of effectiveness and /or plans for evaluation;*
- *Progress in changes in regulation, policies and planning;*
- *Progress on adaptation action and programmes;*
- *Progress on mainstreaming/integrating adaptation into development strategies and sectoral plans and programmes*
- *Placeholder on further information on implementation and results achieved*
- **Monitoring and evaluation, and approaches used**
 - *Mechanisms to track adaptation action and outcomes*
 - *Systems to measure and track national, international and private finance for adaptation*
 - *Possible indicators of how adaptation actions have increased resilience and reduced adverse impacts in key areas*
 - *Information on effectiveness of adaptation actions*
 - *Information on approaches to monitoring and evaluation of implemented strategies and plans*
 - *Assessments of how adaptation actions influence other developments goals*
 - *Information on how participation, gender considerations, indigenous-, traditional and local knowledge have been integrated into adaptation policies and actions*
 - *Assessments on transparency of planning and implementation process*
 - *Placeholder on further information on monitoring and evaluation, and approaches used*
- **Good practices, lessons learned and information sharing**
 - *Information on policy and regulatory changes, practical action and coordination, as well as remaining challenges and plans to address them...*
 - *Placeholder on further information on good practices, lessons learned and information sharing*
- **Barriers for implementation of adaptations, challenges, and gaps**
- ...

ANNEX II

SOME GROUPS OF THE G77 AND CHINA CONSIDER ANNEX II COULD BE THE APPROPRIATE SPACE FOR GUIDANCE FOR NDCs

Option 1: Vehicle-specific guidance for an adaptation communication

- **NDC-specific guidance for an adaptation communication⁵**
- **NAP-specific guidance for an adaptation communication**
- **NC-specific guidance for an adaptation communication**
- **Other communications- or documents-specific guidance for an adaptation communication**

Option 2: No vehicle-specific guidance for an adaptation communication

Option 1: Adaptation Elements Identified for NDCs

- National circumstances
- Impacts, vulnerabilities and risk assessments (including future scenarios)
- Adaptation priorities, politics, plans, actions, strategies and/or programmes, if applicable
- Adaptation support needs of developing country Parties
- Communication of indicative projected levels of public financial resources to be provided developed country Parties to developing country Parties, including finance, technology, and capacity-building
- Contributions to adaptation
- Information on adaptation actions that result in mitigation co-benefits, if applicable
- Information on economic diversification efforts, if applicable
- Information on sustainable development efforts, if applicable
- Timeframe
- Means of implementation
- Traditional knowledge or community-based adaptation climate change and local communities' involvement, if applicable
- ...

Option 2: no heading

⁵ NDC-specific guidance would include: preamble/introduction, guiding principles, purpose, adaptation elements identified for NDCs, timing/frequency, linkages, support, and other matters.