



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

2 August 2018

Sixth part of the first session  
Bangkok, 4–9 September 2018

**Additional tool under item 4 of the agenda**

**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**

**Informal document by the Co-Chairs**

**A. Mandate**

1. The Ad Hoc Working Group on the Paris Agreement (APA), in order to facilitate deliberations at APA 1.6, requested its Co-Chairs, with the assistance of, to the extent possible, the persons who facilitated work on the relevant matters at APA 1.5, to prepare, by 1 August 2018, tools that are additional to and based on the informal notes contained in the annex to the APA 1.5 conclusions,<sup>1</sup> including proposals for streamlining the outcome of the APA at APA 1.6 and examples of how Parties could further progress towards the development of an agreed basis for negotiations, taking account of the level of maturity and delicate balance achieved to date for individual items. The streamlining should not imply the insertion or deletion of substantive concepts or textual narratives.<sup>2</sup>

2. The APA noted that the tools referred to in paragraph 1 above would be prepared by the Co-Chairs under their own responsibility, and emphasized that at this stage in the negotiations it would be important to ensure that all options identified by Parties remain on the table, recalling the right for any Party to make submissions to be considered under the relevant agenda items.<sup>3</sup>

**B. Scope**

3. The annex contains the additional tool under 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”. The tool was prepared by the APA Co-Chairs with the assistance of Mr. Julio Cordano (Chile) and Ms. Beth Lavender (Canada).

**C. Approach**

4. The tool was prepared as follows:

(a) It is based on the informal note on agenda item 4 contained in the annex to the APA 1.5 conclusions<sup>4</sup> as well as on Parties’ deliberations and submissions at APA 1.5;<sup>5</sup>

(b) Attempts were made to improve the text and its workability by:

<sup>1</sup> See document FCCC/APA/2018/L.2/Add.1.

<sup>2</sup> FCCC/APA/2018/2, paragraph 21.

<sup>3</sup> FCCC/APA/2018/2, paragraph 22.

<sup>4</sup> As footnote 1 above.

<sup>5</sup> Available at <http://www4.unfccc.int/sites/SubmissionPortal/Pages/Home.aspx>.

- (i) Including in the text proposals contained in the attachment to the informal note referred to in paragraph 4(a) above;
  - (ii) Combining similar proposals, where possible;
  - (iii) Adding short notes in each section to provide an overview of the changes made and to suggest next steps, including examples of possible streamlining;
  - (iv) Adding a table of contents at the beginning of the tool;
  - (v) Providing, at the end of the tool, a mapping that indicates paragraphs in different sections that seem to address similar or related issues.
5. The following context is relevant to the tool:
- (a) The content is not exhaustive and 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;
  - (b) There are two proposals for the guidance: (1) single or common guidance applicable to any vehicle chosen by a Party to convey its adaptation communication or (2) vehicle-specific guidance. The proposals are presented as not mutually exclusive. The tool in no way prejudices Parties' views on this issue;
  - (c) In the part on elements in section II of the tool, the text in italics provides descriptions of the types of information suggested by Parties in relation to some of the elements but does not represent convergence of views among Parties. The italicized text is intended to provide broader ideas on possible information that the elements may include if a Party chooses to do so, subject to availability and applicability. It is not intended to provide a prescriptive or 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 other sections of the tool;
  - (d) At previous sessions, Parties have undertaken a focused discussion on general headings, identified options and discussed the specific paragraphs in sections I.1, I.6 and I.7 as well as in section II. A number of Parties highlighted the need to further streamline the proposals and cluster the content under different options;
  - (e) Some Parties proposed "requesting the Intergovernmental Panel on Climate Change 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 were opposed to that proposal.

#### **D. Possible action by the Ad Hoc Working Group on the Paris Agreement**

6. APA 1.6 may wish to consider this tool, in addition to the relevant informal note contained in the annex to the APA 1.5 conclusions, in its deliberations.

## Annex

### Additional tool under item 4 of the agenda

#### 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

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### I. Decision<sup>1</sup>

#### 1. Preamble

##### Box 1.1: Changes implemented in this section

- Specific inputs from Parties contained in the attachment to the informal note of 9 May 2018 were included in the text. The added text is highlighted grey;
- Where necessary, slashes were used to reflect alternative formulations;
- Bullet points 3 and 4 of the informal note were merged (now paragraph 3);
- Bullet points 6, 7, 8 and 9 of the informal note were lightly streamlined and grouped together (now paragraphs 5, 6 and 7);
- Proposals relating to sustainable development were grouped together (now paragraphs 10 and 11);
- Where possible, verbs were added to reflect the preambular nature of this section and to enhance the narrative.

1. Recalling relevant UNFCCC provisions, including the principle of common but differentiated responsibilities and respective capacities;
2. Recalling relevant Paris Agreement provisions, including its Articles 2, 3, 7, 9, 10, 12, 13, and 14;
3. Recognizing the importance of the adaptation communication for achieving mitigation and adaptation goals under the Paris Agreement, including the global goal on adaptation;
4. Define linkages, in particular the role of adaptation communication in the global stocktake, as well as the relationship with the transparency framework/ The adaptation communication referred

<sup>1</sup> The structure of this document is without prejudice to the form of the final outcome of the work of the APA, with regards to a single of multiple decisions.

to Article 7, paragraph 10, of the Paris Agreement 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;

5. Recognizing the importance of flexibility / the flexibilities of developing countries in the submission and updating of a vehicle choice for the adaptation communication, provided in Article 7, paragraphs 10 and 11, of the Paris Agreement;
6. Recognizing that an adaptation communication is not mandatory, and should not pose/create an additional burden on developing country Parties;
7. Emphasizing that an adaptation communication should not be a basis for comparisons between Parties;
8. Adaptation efforts of developing country Parties shall be recognized;
9. Recalling existing guidance for other communications or documents;
10. Recognizing the links between adaptation and sustainable development, including the Sustainable Development Goals and the Sendai Framework for Disaster Reduction;
11. Recognizing the role of adaptation, and the interlinkages it offers, to ensure and achieve the right to sustainable development for developing countries;
12. Recalling that continuous and enhanced international support shall be provided to developing country Parties for the implementation of paragraphs 7, 9, 10 and 11 of Article 7 of the Paris Agreement, in accordance with the provisions of Articles 9, 10 and 11.
13. Recalling that the adaptation communication referred to in Article 7, paragraph 10, of the Paris Agreement shall be recorded in a public registry maintained by the secretariat.
14. ...

**Box 1.2: Possible questions on how to approach further work on the text**

- Could the following paragraphs be merged:
    - Paragraphs 5 and 7?
    - Paragraphs 10 and 11?
  - How could the paragraphs in this section be re-formulated in full to form a consistent part of the narrative?<sup>7</sup>
- In accordance with Parties' suggestions, would it be possible to:
- Combine paragraphs 1 and 2;
  - Move paragraphs 3 and 7 into the section 2 (purpose);
  - Move the content of section 2 (purpose) into this section?

**Box 1.3: Examples of how the text in this section can be further streamlined/structured**

- This section could be revised further, for example, as follows:
1. Recalling relevant provisions of the Convention, including the principle of common but differentiated responsibilities and respective capacities, and of the Paris Agreement, including its Articles 2, 3, 7, 9, 10, 12, 13, and 14.
  2. Recognizing the importance of the adaptation communication for achieving mitigation and adaptation goals under the Paris Agreement, including the global goal on adaptation, and its connection with the global stocktake and the transparency framework.
  3. Recognizing the importance of flexibility provided to Parties by Article 7, paragraphs 10 and 11, for the submission and updating of the adaptation communication.
  4. Recalling the guidance for existing communications or documents, in particular the guidance contained in decisions 4/CP.5, 17/CP.8, and 5/CP.17.
  5. Recognizing that an adaptation communication is not mandatory, should not pose an additional burden on developing country Parties, and should not be a basis for comparisons between Parties.
  6. Emphasizing the importance of recognizing adaptation efforts of developing country Parties.

<sup>7</sup> This question applies to all sections of the text, as appropriate.

7. Recognizing the links between adaptation and sustainable development, including the link between the Sustainable Development Goals and the Sendai Framework for Disaster Risk Reduction, as well as the importance of adaptation for ensuring and achieving the right to sustainable development in developing countries.
8. Recalling that continuous and enhanced international support shall be provided to developing country Parties for the implementation of paragraphs 7, 9, 10 and 11 of Article 7 of the Paris Agreement, in accordance with the provisions of Articles 9, 10 and 11.
9. Recalling that the adaptation communication referred to in Article 7, paragraph 10, of the Paris Agreement shall be recorded in a public registry maintained by the secretariat.

## 2. Purpose

### Box 2.1: Changes implemented in this section

- Specific inputs from Parties contained in the attachment to the informal note of 9 May 2018 have been included in the text. The added text is highlighted grey.
- The three options contained in the original informal note (9 May 2018) have been merged together, and slashes have been used to reflect the minor differences and alternative formulations. The three options were very similar, while offering different ways to organize the information.
- Chapeaus have been added at the beginning of subsections (a) and (b).

#### (a) Purpose of this guidance

1. The purpose of this guidance is to:
  - (a) Assist Parties in submitting and updating an adaptation communication;
  - (b) Assist Parties in communicating information referred to in Article 7.10 (priorities, implementation and support needs, plans and actions);
  - (c) Facilitate learning, cooperation, and support.

#### (b) Purpose of an adaptation communication

2. The purpose of an adaptation communication is to:
  - (a) Communicate national adaptation priorities, implementation and support needs, and plans and actions;
  - (b) Contribute to and inform progress towards the global goal for adaptation, and inform the review of overall progress towards that goal;
  - (c) Provide input to the global stocktake;
  - (d) Recognize adaptation efforts;
  - (e) Strengthen / raise visibility and profile of adaptation / parity with mitigation;
  - (f) Enhance and catalyse actions / plans and support for developing countries, to implement communicated adaptation action;
  - (g) Facilitate clarity, transparency and understanding of adaptation actions and support provided;
  - (h) Enhance understanding of adaptation needs;
  - (i) Help countries build and retain capacity;
  - (j) Enhance learning and understanding of adaptation by sharing lessons, experiences, evidence and good practices;
  - (k) Inform future decisions under the UNFCCC on adaptation;
  - (l) Assist Parties in communicating information, as a component of or in conjunction with the NDCs, on adaptation actions and/or economic diversification plans and/or national development plans that result in mitigation co-benefits;
  - (m) ...

### 3. Adoption of the guidance

#### Box 3.1: Changes implemented in this section

- Specific input from Parties contained in the attachment to the informal note of 9 May 2018 has been included in the text. The added text is highlighted grey.
- Slashes have been used to reflect alternative formulations.

#### Option 1:

1. Adopting the guidance / Adopt the further guidance in relation to the adaptation communication, including, inter alia, as a component of the NDC, contained in [...];
2. ...

#### Box 3.2: Possible questions on how to approach further work on the text

- What would be the exact nature of this section and the placement of the guidance to be adopted?

#### Box 3.3: Examples of how the text in this section can be further streamlined/structured

This section could be revised further, for example, as follows:

1. Decides to adopt the guidance in relation to the adaptation communication, including, inter alia, as a component of nationally determined contributions, contained in annex [X].

#### Option 2: No heading/text

### 4. Principles

#### Box 4.1: Changes implemented in this section

- Specific input from Parties contained in the attachment to the informal note of 9 May 2018 has been included in the text. The added text is highlighted grey.

#### Option 1:

1. Common but different responsibilities and respective capabilities in light of different national circumstances;
2. Equity;
3. National context, country-drivenness and respect for national sovereignty;
4. Context of sustainable development and poverty eradication;
5. No creating additional burden on developing country Parties;
6. No comparison between developing country Parties nor review;
7. Flexibility in terms of the reporting vehicle;
8. 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;
9. Links between adaptation, as well as global temperature goals and levels of mitigation;
10. Importance of support and international cooperation;
11. Language of Paris Agreement Article 7.5;
12. Applicability to all;
13. Recognizing adaptation actions and/or economic diversification plans and/or national development plans that result in mitigation co-benefits;
14. ...

**Box 4.2: Possible questions on how to approach further work on the text**

- What is the exact nature of this section, including its relationship with section 1 (preamble)?
- What are the similarities between this section and section 1, in particular the placement of references to principles, flexibility, and provisions of the Convention and the Paris Agreement, for example:
  - Paragraphs 1 and 2 of section 1 and paragraphs 1 and 2 of this section;
  - Paragraph 7 of section 1 and paragraph 6 of this section;
  - Paragraph 6 of section 1 and paragraph 5 of this section?
- Could paragraphs 5 and 7 within this section, which seem to contain similar concepts, be merged?

**Option 2: No heading/text****5. Modalities for communicating, submitting and updating the adaptation communication****Box 5.1: Changes implemented in this section**

- Specific input from Parties contained in the attachment to the informal note of 9 May 2018 has been included in the text. The added text is highlighted grey.
- Paragraphs containing similar concepts have been grouped together without merging.

**Option 1:**

1. Timing to start applying the guidance, e.g. immediately upon its adoption;
2. 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;
3. According to the flexibility in Article 7.10 and 7.11 of the Paris Agreement: language of Article 7.11;
4. Flexibility to use different vehicles at different times, or multiple vehicles;
5. Modalities for parties that choose to submit adaptation communication as a component of or in conjunction with the NDC as presented in Annex II;
6. Timing/frequency in relation to the vehicle;
7. 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;
8. Any information that could be useful in clarifying adaptation communications;
9. Provisions related to building on, and taking into account, current guidelines for existing vehicles;
10. Decision of supplementary information according to the vehicle, as appropriate;
11. Adaptation communication should be clearly identified, from beginning to end, within the vehicle, including by numbering the first and subsequent adaptation communication;
12. Modalities to report information, as a component of or in conjunction with the NDC, on adaptation actions and/or economic diversification plans and/or national development plans that result in mitigation co-benefits;
13. ...

**Box 5.2: Possible questions on how to approach further work on the text**

- Could the following paragraphs within this section, which seem to contain similar concepts, be merged:
  - Paragraphs 2, 3 and 4
  - Paragraphs 5 and 12?
- How could the language in paragraphs 3 to 10, and paragraph 12 be elaborated into a full and coherent narrative?

**Box 5.3: Examples of how the text in this section can be further streamlined/structured**

The paragraphs in this section could be revised further, for example, as follows:

- Paragraph 1: “Parties may apply the guidance contained in annex [X] immediately after its adoption.”
- Paragraphs 2 and 3 could be combined: “The adaptation communication shall be communicated, submitted, and updated in accordance with Article 7, paragraphs 10 and 11, of the Paris Agreement, taking into account the flexibilities outlined in those paragraphs.”
- Paragraph 4 could be revised: “Parties may, as appropriate, submit and update the adaptation communication as a component of or in conjunction with different communications or documents at different times, and may, as appropriate, use a combination of different communications or documents.”

**Option 2. No heading/text <sup>8</sup>**

**6. Modalities to update/revise/review the guidance**

**Box 6.1: Changes implemented in this section**

- Specific input from Parties contained in the attachment to the informal note of 9 May 2018 has been included in the text. The added text is highlighted grey.

**Option 1:**

1. The guidance contained in annex [X] to be revised by the session of the CMA in [X];
2. An invitation to Parties to submit experiences on the use of the guidance to assist the revision by [date];
3. Secretariat to prepare a synthesis report of the submission presented by Parties by [date];
4. 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;
5. Guidance on adaptation communication as a component of or in conjunction with NDC to be updated/revise/reviewed in concurrence with the update/revision/review of NDC (APA 3) guidance;
6. ...

**Box 6.2: Possible question on how to approach further work on the text**

How could the scope and timelines of the review of the guidance be elaborated, in particular by specifying what will be reviewed, and what deadlines will apply to the specific activities?

**Box 6.3: Examples of how the text in this section can be further streamlined/structured**

Paragraphs 1-4 of this section could be revised as follows:

1. Option 1: Decides to revise the guidance contained in annex [X] by its [X] session.  
Option 2: Decides to, at its [X] session, take stock of, and if necessary revise, the guidance contained in annex [X], taking into account the experiences of Parties in implementing the guidance.
2. Invites Parties to submit, by [X], their experiences on the use of the guidance contained in annex [X] to assist the revision referred to in paragraph 1 above.
3. Requests the secretariat to prepare a synthesis report of the submissions of Parties referred to in paragraph 2 above.

<sup>8</sup> 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”.



**Option 2: No heading/text****7. Modalities of support for the preparation, updating and implementation of the adaptation communication****Box 7.1: Changes implemented in this section**

- Paragraphs containing similar concepts have been grouped together without merging.
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**Option 1.**

1. Provision of support for the preparation and submission of the adaptation communication for developing countries;
2. Recognition of the availability of support for the preparation of adaptation communications through existing financial institutions under the Convention;
3. Request the Global Environment Facility and GCF to provide support for preparation, submission, and updating;
4. 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;
5. 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;
6. Request GCF, GEF, and AF, to provide support for implementation;
7. Request CTCN and PCCB, to provide support for the implementation of the adaptation communication;
8. Developed country Parties to mobilize continuous and enhanced international support for the preparation, submission, update and implementation of adaptation communications by developing countries;
9. Placeholder on the mandate of the AC/LEG/SCF on the mobilization of support;
10. Provisions related to reporting on support to be addressed under APA item 5;
11. ...

**Box 7.2: Possible questions on how to approach further work on the text**

- Could the following paragraphs within this section, which seem to contain similar concepts, be merged: - Paragraphs 1, 2 and 3? - Paragraphs 4, 6, 7 and 8? - What is the relationship between the provisions in the text with other support-related negotiating items under the Paris Agreement Work Programme? With other parts of this note referring to support, such as paragraph 10 of section 1?
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**Box 7.3: Examples of how the text in this section can be further streamlined/structured**

Paragraphs 1-3 of this section could be revised, for example, as follows: 1. Requests the Green Climate Fund and the Global Environment Facility to provide support to developing countries for the preparation, submission, and updating of adaptation communications.
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**Option 2: No heading/text<sup>9</sup>****8. Linkages****Box 8.1: Changes implemented in this section**

- Specific input from Parties contained in the attachment to the informal note of 9 May 2018 has been included in the text. The added text is highlighted grey.
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<sup>9</sup> Provisions related to support could be reflected in the preamble.

- Bullets 9 and 10 of the original informal note were merged (now paragraph 9).

**Option 1:**

1. Global stocktake, including:
  - (a) 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;
  - (b) The purpose of the adaptation communication in the global stocktake is to enhance adaptation action as established in Article 7 paragraph 14 subliteral b;
  - (c) 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;
2. Transparency framework, including:
  - (a) Importance of ensuring consistency of information, avoiding additional burdens on developing countries, and avoiding duplications;
  - (b) Reporting under Article 13.8 as a possible vehicle;
  - (c) Adaptation information reported by Parties should not be subject to review;
  - (d) Reporting of the implementation of the adaptation communication for recognition of efforts, understanding progress made and sharing of lessons learned;
  - (e) Information on adaptation actions and/or economic diversification plans and/or national development plans that result in mitigation co-benefits;
  - (f) Parties can opt for information communicated as a component of or in conjunction with NDC on adaptation actions and/or economic diversification plans and/or national development plans that result in mitigation co-benefits to be subject to review under article 13.7 (b) of the Paris Agreement;
  - (g) The adaptation communication and reporting have a fundamentally different character and purpose. Adaptation communications are a contribution, recorded in its public registry. Transparency of adaptation has the nature of reporting on implementation actions;
  - (h) A clear division of labour would help remove the duplication between APA items 4 and 5. List of specific elements for consideration under APA items 4 and 5:
    - (i) Work on item 4: national circumstances; impacts, vulnerabilities and risk assessments; adaptation priorities, policies, plans, actions, strategies and/or programmes, as appropriate; adaptation support needs of developing country Parties;
    - (ii) Work on item 5: information related to loss and damage (section D.5), progress on implementation of adaptation (section D.7), monitoring and evaluation of adaptation actions and process (section D.8); cooperation, good practices, experiences and lessons learned (section D.9); recognition of adaptation efforts (section D.11), reporting formats section D.12);
3. Finance, including:
  - (a) Availability of support to prepare an adaptation communication;
  - (b) The relationship of the adaptation communication with arrangements for support;
4. Technology;
5. Capacity-building;
6. Registry, including:
  - (a) Placeholder for the modalities being developed by the SBI;
  - (b) Processing the adaptation communication after it has been recorded;

7. Work of the constituted bodies;
8. Other international processes, such as SDGs and the Sendai Framework;
9. Relevant cross-cutting issues to be considered when developing an adaptation communication;
10. ...

**Box 8.2: Possible questions on how to approach further work on the text**

- Which proposals contained in this section would need to be reflected in the guidance to be adopted, and which proposals relate to the process of addressing the interlinkages between different items under the Paris Agreement Work Programme?
- Could paragraphs 1 a. and b within this section, which seem to contain similar concepts, be merged?
- How do the proposals in this section relate to other references to interlinkages in this tool, for example in:
  - Paragraphs 4, 10 and 11 of section 1;
  - Paragraph 2 of section 5;
  - References to support in section 7?

**Box 8.3: Examples of how the text in this section can be further streamlined/structured**

Paragraphs 1 a. and b. of this section could be revised, for example, as follows:

1. The purpose of the adaptation communication in the global stocktake is to:
  - (a) Option 1: enable recognition of efforts, enhance implementation, review adequacy and effectiveness of actions and support, and review overall progress towards the global goal on adaptation
  - Option 2: enhance adaptation action as established in Article 7, paragraph 14 (b).

**Option 2: No heading/text<sup>10</sup>**

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<sup>10</sup> Provisions related to linkages could be reflected in the preamble.

## II. ANNEX I of the informal note at APA 1.5

### Box II.1: Changes implemented in this section

- Specific input from Parties contained in the attachment to the informal note of 9 May 2018 has been included in the text. The added text is highlighted grey.

- Options 1 and 2 have been merged into one set of elements to reduce the duplications between the two texts. Slashes have been used to reflect alternative formulations and the alternatives for the structure of these elements have been identified as options. Paragraphs have been grouped together thematically, and are not intended to prejudice any structure of the elements Parties wish to adopt in the future.

#### 1. Elements

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

#### (a) Option 1: Common set of elements

1. National circumstances / National circumstances, including population, levels of development, legal frameworks and institutions
  - (a) *Context information<sup>11</sup>*
  - (b) *National long-term adaptation objectives*
  - (c) *Components of low-emission resilient development strategies*
  - (d) *Sub-national context*
  - (e) *Geography*
  - (f) *Climate*
  - (g) *Economy*
  - (h) *Population*
  - (i) *Information on how adaptation planning is informing national and/or sectoral development plans and implementation*
  - (j) *Extreme weather events that have affected a country's adaptive capacity*
  - (k) *The role of adaptation planning in informing national and sectoral development*
  - (l) *Placeholder on further information on national circumstances / national circumstances including population, levels of development, legal frameworks and institutions*
2. Impacts, vulnerabilities and risk assessments/ Expected impacts, risks and vulnerability and adaptive capacity
  - (a) *Future scenarios and risks*
  - (b) *Key climate hazards*
  - (c) *Modelling, projections, and scenarios*
  - (d) *Impacts experiences and projected*

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<sup>11</sup> Note: 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.

- 
- (e) *Assessments of key economic, social and/or environmental vulnerabilities and risks*
  - (f) *Assessments of adaptive capacity, taking into account vulnerable people, places and ecosystems;*
  - (g) *Populations and sectors most at risk*
  - (h) *Information on limits of adaptation*
  - (i) *Information on approaches, methodologies and tools used for the assessments, and relevant uncertainties*
  - (j) *Information on the limits of adaptation, and national assessments as well as global reports*
  - (k) *Information on climate impacts, risks and vulnerabilities*
  - (l) *Information on reduction of vulnerability*
  - (m) *Information on nationally determined adaptation priorities and other hazards*
  - (n) *Placeholder on further information on impacts, vulnerabilities and risk assessments / impacts, risks and vulnerability and adaptive capacity*
3. National goals related to adaptation, resilience, and reducing vulnerability
4. Adaptation priorities, policies, plans, actions, strategies and/or programmes, as appropriate / Adaptation priorities, plans, strategies, planned actions, resilience-building activities and expected results
- (a) *Domestic adaptation planning processes*
  - (b) *Implemented and planned actions, strategies and approaches*
  - (c) *Efforts to build resilience of socioeconomic and ecological systems*
  - (d) *Priority sectors and/or geographic areas*
  - (e) *Information on the process to formulate and implement national adaptation plans*
  - (f) *Efforts to integrate adaptation into policies, programs and activities, in particular development planning*
  - (g) *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*
  - (h) *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*
  - (i) *Information on plans and actions to build resilience of socioeconomic and ecological systems, including through economic diversification and sustainable management of natural resources*
  - (j) *Information relating to nationally determined adaptation priorities*
  - (k) *Development of national adaptation plans; policies; strategies and programmes*
  - (l) *Placeholder on further information on adaptation priorities, policies, plans, actions, strategies and/or programmes, as appropriate / adaptation priorities, plans, strategies, planned actions, resilience-building activities and expected results*
5. Adaptation support needs of developing country Parties / Implementation and support needs, including the costs of meeting those adaptation needs
- (a) *The costs of meeting those adaptation needs (financial, technology, and capacity-building)*
  - (b) *Domestic and international, public and private, resources needed for adaptation (international/national/sub-national, sectoral as available)*

- (c) *Financial instruments and/or budget provisions enabling implementation of adaptation*
  - (d) *Domestic, international and private finance mobilization*
  - (e) *Technology development and transfer measures and activities*
  - (f) *Support provided, needed and received*
  - (g) *Capacity-building provided, received and needed*
  - (h) *Information on projected costs of priorities*
  - (i) *Projected technical support, technology, capacity building needed*
  - (j) *Placeholder on further information on adaptation support needs of developing country Parties / implementation and support needs, including the costs of meeting those adaptation needs*
6. *Adaptation efforts of developing countries (for recognition)*
- (a) *Adaptation plans and actions undertaken domestically*
  - (b) *Projects and programmes funded by domestic resources*
  - (c) *Efforts undertaken to address extreme events*
  - (d) *Information on list of national adaptation projects/programmes/actions*
  - (e) *Adaptation actions and estimated needs and costs*
  - (f) *Placeholder on further information on adaptation efforts of developing countries (for recognition)*
7. *Adaptation actions currently under implementation*
- (a) *Implementation of adaptation actions, undertakings and/or efforts*
  - (b) *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*
  - (c) *Progress and outcomes of adaptation actions;*
  - (d) *National, sub-regional and/or regional capacity-building for integrating adaptation into development planning*
  - (e) *Information on assistance provided to assist Parties particularly vulnerable to the adverse effects of climate change and having significant capacity constraints*
  - (f) *Placeholder on further information on adaptation actions currently under implementation*
8. *Implementation and results achieved*
- (a) *Progress and outcomes of adaptation action*
  - (b) *Resources invested*
  - (c) *Sources of data*
  - (d) *Relevant financial instruments*
  - (e) *Mobilization of finance from various sources*
  - (f) *Description of co-ordination action, activities carried out under adaptation plans, with assessment of effectiveness and /or plans for evaluation;*
  - (g) *Progress in changes in regulation, policies and planning;*
  - (h) *Progress on adaptation action and programmes;*
  - (i) *Progress on mainstreaming/integrating adaptation into development strategies and sectoral plans and programmes*

- (j) *Placeholder on further information on implementation and results achieved*
9. 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
- (a) *Sectors and geographic areas targeted for support*
- (b) *Types of support*
- (c) *Types of information outlined when communicating on indicative adaptation support*
- (d) *Total amounts to be provided by multilateral channels or by region*
- (e) *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*
10. Information on synergies with other international conventions
11. Good practices, lessons learned and information sharing
- (a) Information on policy and regulatory changes, practical action and coordination, as well as remaining challenges and plans to address them
- (b) Placeholder on further information on good practices, lessons learned and information sharing
12. Barriers for implementation of adaptations, challenges, and gaps
13. ...

**Option 2: No heading/text**

**(b) Additional / opt in opt out**

14. Option 1: Information on adaptation actions and/or economic diversification plans and/or national development plans that result in mitigation co-benefits
- (a) *Expected quantified emission reductions/avoidance*
- (b) *Placeholder on further information on adaptation actions that result in mitigation co-benefits*
15. Co-benefits of adaptation
16. Cooperative dimension at the national, regional and international level / Cooperation to enhance adaptation at national, regional and international levels
- (a) *Information related to sharing information, good practices, experiences and lessons learned*
- (b) *Strengthening institutional arrangements*
- (c) *Strengthening scientific knowledge on climate*
- (d) *Assisting developing countries in identifying effective adaptation practices, adaptation needs, priorities, support provided and received, and challenges and gaps*
- (e) *Improving the effectiveness and durability of adaptation actions, ...*
- (f) *Placeholder on further information on cooperation to enhance adaptation at national, regional and international levels*
17. Progress on implementing adaptation actions and plans
18. Economic diversification plans; information on adaptation actions and/or economic diversification plans and/or national development plans that result in mitigation co-benefits
19. Adaptation efforts of developing countries (for recognition)
20. Traditional knowledge or community based adaptation climate change and local communities' involvement

21. Legal framework and institutional arrangements as appropriate
22. Monitoring and evaluation/ Monitoring and evaluation, and approaches used
  - (a) *Mechanisms to track adaptation action and outcomes*
  - (b) *Systems to measure and track national, international and private finance for adaptation*
  - (c) *Possible indicators of how adaptation actions have increased resilience and reduced adverse impacts in key areas*
  - (d) *Information on effectiveness of adaptation actions*
  - (e) *Information on approaches to monitoring and evaluation of implemented strategies and plans*
  - (f) *Assessments of how adaptation actions influence other developments goals*
  - (g) *Information on how participation, gender considerations, indigenous-, traditional and local knowledge have been integrated into adaptation policies and actions*
  - (h) *Assessments on transparency of planning and implementation process*
  - (i) *Placeholder on further information on monitoring and evaluation / monitoring and evaluation, and approaches used*
23. ...

**Box II.2: Possible questions on how to approach further work on the text**

- What should be the structure of the elements, noting that some would like to structure the elements into common elements and additional/opt-in opt-out elements, while others would prefer not to use such a structure?
- How could the subparagraphs (in italics), identifying specific types of information that could be included under each element, be reflected? Would those subparagraphs be contained in the guidance to be adopted, and if so, how?

**Option 2: No heading/text**



### III. ANNEX II of the informal note at APA 1.5

#### Box III.1: Changes implemented in this section

- Specific input from Parties contained in the attachment to the informal note of 9 May 2018 has been included in the text. The added text is highlighted grey.

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

#### Option 1:

##### Option 1: Vehicle-specific guidance for an adaptation communication

- NDC-specific guidance for an adaptation communication<sup>12</sup>
- 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 2:

##### Vehicle-specific guidance for an adaptation communication

- NDC-specific guidance for an adaptation communication<sup>13</sup>

#### Option 1: Adaptation Elements Identified for NDCs

1. National circumstances
2. Impacts, vulnerabilities and risk assessments (including future scenarios)
3. Adaptation priorities, politics, plans, actions, strategies and/or programmes, if applicable
4. Adaptation support needs of developing country Parties
5. 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
6. Contributions to adaptation
7. Information on adaptation actions and/or economic diversification plans and/or national development plans that result in mitigation co-benefits, if applicable
8. Information on economic diversification efforts, if applicable
9. Information on sustainable development efforts, if applicable
10. Timeframe
11. Means of implementation
12. Traditional knowledge or community-based adaptation climate change and local communities' involvement, if applicable
13. ...

#### Box A III.2: Possible questions on how to approach further work on the text

- What is the relationship between this section and annex I?

#### Option 2: No heading/text

<sup>12</sup> NDC-specific guidance would include: preamble/introduction, guiding principles, purpose, adaptation elements identified for NDCs, timing/frequency, linkages, support, and other matters.

<sup>13</sup> NDC-specific guidance would include: preamble/introduction, guiding principles, purpose, adaptation elements identified for NDCs, timing/frequency, linkages, support, and other matters.

#### IV. Paragraphs in this tool that contain similar or related issues

<i>Issue</i>	<i>Appears in</i>	
	<i>Section</i>	<i>Paragraphs</i>
References to UNFCCC and the Paris Agreement	1	1, 2, 4, 12, 13
	4	11
	5	2, 3
	7	4
Importance of an adaptation communication for the goals of the Paris Agreement	1	3
	2	2 (b)
Linkage with the global stocktake	1	4
	2	2 (c)
	8	1
Linkage with the transparency framework	1	4
	7	10
	8	2
Linkages with other international processes	1	10, 11
	8	8
Adaptation communication and NDCs	2	2 (l)
	3	1
	5	5, 12
	6	5
	8	2 (f)
Economic diversification/co-benefits of adaptation	Annex II	
	2	2 (l)
	4	13
	5	12
	8	2 (e) and (f)
	Annex I	14, 15, 18
	Annex II	7
Flexibility	1	5, 6
	4	7
	5	3, 4
Avoiding additional burden	1	7
	4	5
No basis for comparison	1	7

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	4	6
Recognition of effort	1	8
	2	2 (d)
Support for preparation of adaptation communication	7	1, 2, 3, 8
	8	3 (a)
Support for implementation	7	4, 6, 7, 8
Support in general	7	5, 9, 10
	8	3, 4 and 5
Registry	1	13
	5	7
	8	6

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