

15 October 2018

Joint reflections note by the presiding officers of the Ad Hoc Working Group on the Paris Agreement, the Subsidiary Body for Scientific and Technological Advice and the Subsidiary Body for Implementation

Addendum 3

Matters relating to Article 7 of the Paris Agreement and paragraphs 41, 42 and 45 of decision 1/CP.21

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3.1 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

A. Progress to date and ways forward

1. The discussions at the sixth part of the first session of the Ad Hoc Working Group on the Paris Agreement (APA) resulted in a more mature and better structured text,¹ with clearer options and better narrative. It is now easier to see what the guidance should contain, and where further substantive work is needed. Based on the state of the discussions, it appears that two questions are particularly pertinent for this item, and need to be resolved for a successful, balanced and coherent outcome at Katowice:

- (a) How could the two parts of section II of the textual proposal (“Elements” and “Vehicle-specific guidance for an adaptation communication”) be integrated to define

¹ The Bangkok outcome for this item is available at <https://unfccc.int/documents/182087>.

guidance relevant to different vehicles? Which duplications can be removed, and what language would be needed to establish a coherent narrative between the two parts?

(b) How should calls by Parties to categorize the elements listed in section II of the textual proposals as common and opt-in and opt-out elements be reflected? Could a solution be found by considering the commonalities and differences between the proposals contained in the table in section II, and if so, what would it look like? What alternative ways to reflect the proposals references in the table would usefully capture both commonalities and elements seen as more optional?

2. In the last two sessions, Parties have also discussed linkages with other items in informal consultations, at a meeting of heads of delegations and at the round table on linkages. Parties have emphasized in particular the linkages with APA agenda items 3, 5 and 6, issues related to arrangements for support, Subsidiary Body for Implementation (SBI) agenda item 7 (registry), as well as the ongoing work of the Adaptation Committee (AC) and the Least Developed Countries Expert Group (LEG). Our impression is that three of these linkages would require special consideration:

(a) Regarding the link with APA item 5, the texts still contain many similar ideas, in particular on the types of information to be communicated or reported, and ideas about how to characterize this link are still quite different. This needs solutions that ensure the coherence of the system for communicating and reporting, prevent unnecessary duplications and burdens, and respect the integrity of each item;

(b) Regarding the link with APA item 3, which relates in particular to proposals to define guidance specific to the adaptation component of nationally determined contributions (NDCs), Parties need to explore solutions that respect the interests of all Parties, the mandate of our work and the Paris Agreement;

(c) Regarding the link with APA item 6, the item 4 text contains a proposal on how to channel the information from the adaptation communications to inform the global stocktake. Parties may wish to consider how best to characterize this in the text.

3. In addition, there is still a need for improving the text to make it suitable for final decision-making in Katowice. That is why our textual proposals include editorial changes. We hope that Parties find these proposals useful and will consider them in further negotiations under this item. There is not much time left but much remains for Parties to discuss and decide on.

4. Some groups and Parties have expressed the view that the Paris Agreement work programme (PAWP) outcome for this item does not require text in certain areas. Informal notes by the co-facilitators have, up to this point, identified these issues by including a 'no text' option. With these textual proposals, however, the APA Co-Chairs have elected to dispense with 'no text' references. Instead, differences in Party views are reflected by the use of square brackets around paragraphs or sections. Readers should interpret such square bracketed text as implying that Parties will need to reach consensus on any text to be included and an alternative is 'no text' in the PAWP outcome for that issue/area. This approach does not imply any judgement on our part as to the inclusion (or not) of substantive text on such issues as part of the final PAWP outcome.

5. The textual proposals in chapter B below have been prepared by the APA Co-Chairs under their own responsibility.

B. Textual proposals

I. Decision²

{Preamble}

Recalling relevant provisions of the Convention[, including the principle of common but differentiated responsibilities and respective capabilities].

Recalling [relevant provisions][Article 7] of the Paris Agreement[, including its Articles 2, 3, 4, 7, 9, 10, 12, 13, and 14].

[Recognizing the importance of flexibility provided to Parties by Article 7, paragraphs 10 and 11, for the submission and updating of the adaptation communication.

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.

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 in the context of the climate change response for ensuring equitable access to sustainable development and eradication of poverty in developing countries.

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.]

[Emphasizing, in the context of Article 7, paragraphs 10 and 11 and Article 13, paragraph 8, of the Paris Agreement, the importance of ensuring that information is consistent, that duplications and additional burdens on developing countries are avoided, and that adaptation information reported by Parties is not subject to a review.]

{Purpose}

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.]
2. The purpose of an adaptation communication is to:
 - (a) Communicate national adaptation priorities, implementation and support needs, plans and actions[, in order to contribute to the assessment of progress towards the global goal for adaptation, including as an input to the global stocktake];
 - (b) [Contribute to and inform overall progress in achieving the global goal on adaptation;
 - (c) Raise visibility and profile of adaptation in parity with mitigation;
 - (d) Strengthen adaptation action, enhance and catalyze support for developing countries;
 - (e) Assist developing countries to build and retain capacity;
 - (f) Provide input to the global stocktake 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][enhance adaptation action as

² 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 or multiple decisions.

established in Article 7, paragraph 14 (b)) [enhance adaptation action as established in Article 7, paragraph 14 (b), and to recognize adaptation efforts of developing countries].

(g) Communicate adaptation efforts of developing countries for recognition;

(h) Communicate adaptation actions and/or economic diversification plans and/or national development plans that result in mitigation co-benefits as a component of or in conjunction with the NDCs.]

(i) [Enhance learning and understanding of adaptation needs and actions, by sharing experiences, good lessons learned, evidence and good practices.]]

*{Adoption of the guidance}*³

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

{Principles}

4. [Decides that in preparing, submitting, implementing and updating adaptation communications Parties should be guided and take into account, inter alia, the following principles:

(a) Equity and common but different responsibilities and respective capabilities in light of different national circumstances;

(b) The flexibility provided to Parties by Article 7, paragraphs 10 and 11, including the choice of communication or documents for the adaptation communication;

(c) The adaptation communication is not mandatory, does not pose an additional burden on developing country Parties, and is not a basis for comparisons between Parties nor a basis for review;

(d) The specific needs and special circumstances of developing country Parties, especially those that are particularly vulnerable to the adverse effects of climate change, should be given full consideration, as provided for in the Convention;

(e) The adaptation communication should follow a country driven approach;

(f) The recognition of adaptation actions and/or economic diversification plans and/or national development plans that result in mitigation co-benefits.]

{Modalities for communicating, submitting and updating the adaptation communication}

5. Recalls that according to the flexibility in Article 7, paragraphs 10 and 11, of the Paris Agreement, 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.

6. Decides that Parties may, as appropriate, also submit and update their adaptation communication as a component of or in conjunction with the reports on impacts and adaptation as stipulated in Article 13, paragraph 8, of the Paris Agreement (*reference to relevant sections of the modalities, procedures and guidelines for the transparency framework*), and could include information on, inter alia, implementation of adaptation efforts for recognition, lessons learned, information to facilitate understanding of progress made and sharing of lessons learned, and/or information on adaptation actions and/or economic diversification plans and/or national development plans that result in mitigation co-benefits.

7. Acknowledges that Parties may, when submitting an adaptation communication, provide supplementary information specific to the vehicle, as well as any other information that could be useful for clarifying the adaptation communication, as appropriate.

³ The content of this section will depend on the legal process of the adoption of the outcome of the APA.

8. *Decides* that the guidance contained in annex/decision shall be applicable [from [X] onwards][immediately upon its adoption].
9. *Invites* Parties to submit their first adaptation communication by [X], and subsequent adaptation communications, as appropriate, every [X] years, subject to flexibilities related to frequency and vehicle.
10. *Recalls* that 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.
11. *Encourages* Parties that choose to submit adaptation communication as a component of or in conjunction with the NDC to apply the modalities presented in the annex/decision.
12. *Decides* that Parties can opt for information communicated as a component of or in conjunction with a 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, paragraph 7 (b), of the Paris Agreement.
13. *Encourages* Parties to submit their adaptation communication, using the guidance contained in annex/decision, and considering, as appropriate, the existing guidance for the vehicle used for submission.
14. *Requests* Parties to clearly identify their adaptation communication, from the beginning to the end, regardless of the vehicle used, and to number their adaptation communications sequentially.
15. *Agrees* that, in order to assess overall progress made in achieving the global goal on adaptation, pursuant to Article 7, paragraph 14 of the Paris Agreement, it is necessary to have clear and consistent information that can be synthesised and will enable understanding of collective effort and progress towards the global goal for adaptation.
16. *Requests* SBSTA to develop guidelines for use by Parties in the communication of information under the elements contained in the annex/decision, and to conclude and adopt such guidelines at Conference of Parties in 2020. As input to the development of guidelines, further invite the IPCC to provide a technical paper on available methodologies for producing information referred in paragraph 15 above, with guidance from the SBSTA.

{Modalities to update/revise/review the guidance}

17. *Decides* to [revise][review][take stock of, and if necessary revise]:
- (a) The guidance contained in the annex/decision, taking into account the experiences of Parties in implementing the guidance, at its [X] session in 2024;
- (b) The NDC-specific guidance contained in the annex/decision, in concurrence with the update/revision/review of the guidance for NDCs (*APA item 3*).
18. *Invites* Parties to submit, by 30 June 2024, their experiences on the use of the guidance contained in the annex/decision to assist the revision referred to in paragraph 17 above, and *requests* the secretariat to prepare a synthesis report of those submissions.

{Modalities of support for the preparation, updating and implementation of the adaptation communication}

19. *Urges* developed country Parties to channel new and additional public climate funds to support adaptation activities in developing countries, recognizing the importance of adaptation communications as a key step toward achieving the global goal on adaptation of enhancing adaptive capacity, strengthening resilience and reducing vulnerability to climate change.
20. *Requests* the operating entities of the Financial Mechanism of the Convention, in particular, Global Environment Facility (GEF) and Green Climate Fund (GCF) to provide support to developing country Parties in preparing and submitting their adaptation communications [and NDC].⁴

⁴ It was suggested that references to sources of finance should be generic.

21. *Further requests* GCF, GEF and Adaptation Fund, to support developing country Parties in the implementation of their adaptation priorities and support needs, plans and actions as outlined in their adaptation communication.

22. *Requests* the Climate Technology Centre and Network (CTCN) and Paris Committee on Capacity Building (PCCB), within their respective mandates, to support developing countries in the implementation of their adaptation priorities and support needs, plans and actions as outlined in their adaptation communication.

23. *Takes note* of the recommendations adopted by the CMA on taking the necessary steps to facilitate the mobilization of support for adaptation in developing countries in the context of the limit to global average temperature increase referred to in Article 2 of the Paris Agreement.]

24. [Recognition of the availability of support for the preparation of adaptation communications through existing financial institutions under the Convention.]]

{Linkages}

25. [To operationalize the link between the adaptation communications and the global stocktake:

(a) *Requests* the secretariat to prepare a regular synthesis report of the adaptation communications contained in the registry and make it available no later than three months ahead of each global stocktake;

(b) *Encourages* Parties to synchronize the timing of their adaptation communications with the global stocktake;

(c) *Further requests* [X] to develop further modalities required for operationalizing the link between the adaptation communications and the global stocktake, including for further processing of the adaptation communication after it has been recorded, for consideration and adoption by the CMA at its [X] session.

26. *Takes note* of:

(a) The recommendations adopted by the CMA on matters referred to in paragraphs 41, 42 and 45 of decision 1/CP.21.

(b) The modalities and procedures adopted by the CMA on the operation and use of a public registry referred to in Article 7, paragraph 12, of the Paris Agreement.]

II. Annex

{Introduction}

1. *Recognising* the [non-mandatory] nature of adaptation communications, Parties may provide information at their discretion on any of the elements within their adaptation communication 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.
2. *Further recognising* that Parties have discretion to submit ex-ante and ex-post information through a single or separate reporting channels, as a Party so chooses.
3. For the purposes of this guidance, the following definitions shall apply:
 - (a) [...]
4. When submitting their adaptation communication, Parties are encouraged to use the structure below for their adaptation communication, consider the discretion relevant to existing vehicles, and to use and identify relevant methodologies and existing guidance.

{Elements}⁵

Proposals for structuring the elements 1-9 in option 1 below:

Option	Common elements	Opt-in and opt-out elements
(a)	1-4, 5 (a-b, d-e), 6-7	5 (a, c, f), 8-9
(b)	1-4, 5 (a-b, d-f), 6-7	5 (a, c), 8-9
(c)	1-4	5 (b, d-f), 8
(d)	1-5 (b) + others	5 (e), 6 + others
(e)	1-4	5-9
(f)	1-4, 6	5, 7-9
(g)	1-4, 6	5 (d), 8-9
(i)	1-3, 5 (e), 9	To be determined
(j)	NA	1-9

Option 1:⁶

1. National circumstances, including population, levels of development, legal frameworks and institutional arrangements, as appropriate.
2. Expected impacts, risks and vulnerability assessments, and adaptive capacity.
3. Adaptation priorities, policies, plans, actions, strategies, programmes, resilience-building activities, national goals related to adaptation, and expected results, as appropriate.
4. Implementation and adaptation support needs of developing country Parties, including the costs of meeting those adaptation needs.

⁵ It was suggested that 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 of actions. 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 should be:

- 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;
- Work on item 5: information related to loss and damage, progress on implementation of adaptation, monitoring and evaluation of adaptation actions and process; cooperation, good practices, experiences and lessons learned; recognition of adaptation efforts; and reporting formats.

⁶ It was suggested to add, after each element, a concise description of the element, including building from existing guidance such as national communications and national adaptation plans.

5. Implementation of adaptation actions and plans, including:
 - (a) Progress and results achieved;
 - (b) Adaptation efforts of developing countries for recognition;
 - (c) Cooperation to enhance adaptation at national, regional and international levels;
 - (d) Barriers for implementation of adaptation, challenges, and gaps;
 - (e) Good practices, lessons learned and information sharing;
 - (f) Monitoring and evaluation, and approaches used.
6. Indicative projected levels of public financial resources to be provided by developed country Parties to developing country Parties, including finance, technology and capacity building.
7. Information on synergies with other international conventions.
8. Economic diversification plans; information on adaptation actions and/or economic diversification plans and/or national development plans that result in mitigation co-benefits.
9. Traditional knowledge or community-based adaptation climate change and local communities' involvement.

Option 2:

1. National circumstances including where appropriate, subnational context, legal frameworks and institutional arrangements
2. Risk assessments, including information on changing climate hazards, impacts, vulnerabilities, and exposure
3. Adaptation priorities, national goals and milestones, and identified needs related to resilience and reduction of vulnerability
4. Adaptation efforts, policies, plans, actions, strategies, and/or programmes
 - (a) Policy formulation and planning
 - (b) Policy implementation, progress towards goals, and results
 - (c) Monitoring and evaluation of adaptation actions
5. Good practices, lessons learned and information sharing

[[Vehicle-specific guidance for an adaptation communication]

(b) [NDC-specific guidance for an adaptation communication]

1. The guidance contained in paragraph 2 below is intended for parties that choose to use it to submit their adaptation communication as component of or in conjunction with NDCs.
2. Parties that choose to use this guidance may include the following elements in their adaptation communication, without creating any additional burden:
 - (a) National circumstances;
 - (b) Expected impacts, risks and vulnerability and adaptive capacity;
 - (c) Adaptation priorities, policies, plans, actions, strategies and/or programs, resilience-building activities, expected results and national goals, including information on:
 - (i) Adaptation actions and/or economic diversification plans and/or national development plans that result in mitigation co-benefits, if applicable;
 - (ii) Sustainable development efforts, if applicable;

- (iii) Traditional knowledge or community-based adaptation climate change and local communities' involvement, if applicable;
- (d) Information related to means of implementation, including:
 - (i) Adaptation support needs of developing country Parties including the costs of meeting those adaptation needs;
 - (ii) Indicative projected levels of public financial resources to be provided by developed country Parties to developing country Parties, including finance, technology, and capacity-building;
- (e) Timeframes.]

(c) [NAP-specific guidance for an adaptation communication

1. Parties could include in their adaptation communications information related to the formulation, preparation and implementation of national adaptation plans. This could include information related to the activities identified in paragraph 2 (a)-(c), paragraph 3 (a)-(e) and paragraph 4 (a)-(e) of the annex to decision 5/CP.17.
2. These activities, including national adaptation plan documents, could be submitted to the UNFCCC secretariat as the information requested by Article 7, paragraph 10, of the Paris Agreement.

(d) NC-specific guidance for an adaptation communication

1. Parties may submit the information requested by Article 7, paragraph 10, of the Paris Agreement as part of their national communication by providing information in line with existing guidelines for the preparation of national communications, as contained in document FCCC/CP/1999/7 and decision 17/CP.8.

(e) Other communications- or documents-specific guidance for an adaptation communication

1. Parties wishing to submit an adaptation communication in a vehicle other than a NC, NAP or NDC may do so, taking into account the guidance available for the before-mentioned vehicles.]]

3.2 Development of modalities and procedures for the operation and use of a public registry referred to in Article 7, paragraph 12, of the Paris Agreement

A. Progress to date and ways forward

1. The discussions in Bangkok advanced well and the outcome is a new iteration of the co-facilitators' informal notes based on the version from SBI 47. The Bangkok outcome further streamlined the proposals for the adaptation registry and included elements that could comprise a draft decision.
2. In response to a request by some Parties at the last session, it is to be noted that I organized a one-time joint meeting of the negotiation groups for the public registry referred to in Article 7, paragraph 12, of the Paris Agreement and the public registry referred to in Article 4, paragraph 12, of the Paris Agreement that helped to create a platform for Parties to exchange views on common technical elements being considered under both groups.
3. I was also very encouraged by the fact that Parties also engaged in initial discussions about what could go into the main body of a decision versus elements on modalities and procedures that could be put into an annex.
4. The following critical issues are to be resolved for a successful completion of this item:
 - (a) One vis-à-vis two registries for NDCs and adaptation communications;
 - (b) The timeline for the development of the registry referred to in Article 7, paragraph 12, of the Paris Agreement that could be applicable to that registry or to a registry to be developed in conjunction with the registry referred to in Article 4, paragraph 12, of the Paris Agreement.
5. In addition to the overall principles that guided me in the preparation of the textual proposals outlined in paragraph 21 of the joint reflections note, the following considerations were taken into account for this item:
 - (a) Converting elements of the Bangkok outcome on this item into draft legal text, with minimal changes to the underlying concepts;
 - (b) Clearly presenting the options for implementing the registry referred to in Article 7, paragraph 12, of the Paris Agreement and introducing temporary headings to clearly indicate to where the options apply;
 - (c) Presenting the different element in the form of a draft decision and an annex that contains modalities and procedures.

B. Textual proposals

Draft decision -/CMA.1

The Conference of the Parties serving as the meeting of the Parties to the Paris Agreement,

Recalling that the adaptation communications referred to in Article 7, paragraph 12, of the Paris Agreement shall be recorded in a public registry maintained by the secretariat,

Acknowledging that a systematic collection of information on adaptation actions is necessary to assess progress towards achieving the global goal on adaptation referred to in Article 7 of the Paris Agreement,

Registry referred to in Article 7, paragraph 12 and possible linkages with the registry referred to in Article 4, paragraph 12

Option 1

1. *Decides* to establish a new public registry for adaptation communications as referred to in Article 7, paragraph 12 of the Paris Agreement, referred to herewith as the registry referred to in Article 7, paragraph 12;

1. bis. *Further decides* that the registry referred to in paragraph 1 above will only contain the adaptation communications, submitted by Parties as a stand-alone document; as a document that is extracted from the national adaptation plan, national communication or nationally determined contribution; or as documents submitted together, as part of, or in conjunction with any vehicle the Party may choose, with the specific page numbers of the adaptation communication indicated;

End of option 1

Option 2: as alternative to para 1 and 1bis above:

1. *Decides* that the public registry referred to in Article 4 paragraph 12, referred to herewith as the registry referred to in Article 7, paragraph 12, and the public registry referred to in Article 7 paragraph 12, shall be maintained by the secretariat in a public registry with two parts: adaptation communications and NDCs;

End of option 2

2. *Decides* to have authority over the registry, referred to in Article 7, paragraph 12. including providing guidance to review and revise the registry, and to provide further guidance on its operation as necessary;

Modalities and procedures for a registry referred to in Article 7, paragraph 12

3. *Option 1:* Adopts the modalities and procedures contained in the annex to this decision;

Option 2: Adopts the modalities and procedures for the operation and use of a public registry referred to in Article 4, paragraph 12 as the modalities and procedures for the operation and use of the public registry referred to in paragraph 1 above; and requests the secretariat to develop, by May/June 2019, the registry in accordance with these modalities and procedures;

Option 3: No text on modalities and procedures.

Further action on the registry referred to in Article 7, paragraph 12

4. *Requests* the secretariat to develop, by May/June 2019, the registry referred to in paragraph 1 above, [in accordance with the modalities and procedures referred to in paragraph 3 above];

5. *Invites* Parties to use the registry referred to in Article 7, paragraph 12 for the submission and maintenance of their adaptation communications;

6. *Decides* to undertake a periodic review/revision/update of the modalities and procedures for the operation of the registry referred to in Article 7, paragraph 12 starting at its XXX session and every 5 years thereafter and requests the Subsidiary Body for Implementation to consider this matter at its YYY session with a view to making recommendation to the CMA for its consideration and adoption at the same session.

Annex

Modalities and procedures for the operation and use of a public registry for adaptation communications

I. Purpose

1. The public registry shall record adaptation communications of Parties as referred to in Article 7, paragraph 12 of the Paris Agreement.
2. The public registry shall contain information from submitted adaptation communications as defined in the guidance for adaptation communication referred to in Article 7, paragraphs 10 and 11 of the Paris Agreement.

II. Modalities for the operation of the public registry

3. The public registry shall fulfil the following requirements:
 - (a) Presents information in a tabular format, with one row for each adaptation communication contained therein. The table columns display, as appropriate: name of Party, document title, [document type] [vehicle], version number, status, language and submitted date;
 - (b) Provides flexibility to enable each Party to submit its adaptation communications in the vehicle it chooses;
 - (c) Can sort and display adaptation communications in different ways, such as alphabetically, chronologically [or by region] [by Annex 1 or Non-Annex 1 to the Convention];
 - (d) Has inbuilt internet security measures to avoid unauthorized access or alterations of content;
 - (e) [Ensures user-friendly navigation to and between relevant registries and other web resources;]
 - (f) Utilizes relevant web tools (e.g. really simple syndication (RSS)) to provide updates and notify users of new or modified content;
 - (g) Is a clear, intuitive and easy-to-use web-based platform;
 - (h) Provides a user-friendly interface in all six official languages of the United Nations.

III. Procedures

4. The following procedures shall apply with regard to submitting/uploading, maintaining and using/downloading information in the public registry referred to in Article 7, paragraph 12,

A. Submitting/Uploading

5. The national focal point of each Party submits/uploads the adaptation communications, or informs the secretariat of the vehicle they used as adaptation communication, using a unique account for the registry;
6. *Option 1:* Parties submit an adaptation communication ‘document’ as a stand-alone document; as an extract from the national adaptation plan (NAP), national communication (NC) or nationally determined contribution (NDC); or the option of submitting it together, as part of, or in conjunction with, any vehicle it may choose, but a specific page number for the adaptation communication ‘document’ is specified;

Option 2: The registry will contain only adaptation communication documents that are submitted as stand-alone documents and hyperlinks to adaptation communications submitted in any vehicles that Parties may choose.

7. The secretariat shall take the following actions:

- (a) Provides each Party with a unique account for the registry;
- (b) Undertakes a completeness and security check of all submitted adaptation communications, before recording;
- (c) Provides technical assistance to Parties that may need assistance in uploading adaptation communications 'documents' to the registry.

B. Maintaining

8. The public registry constitutes an archive and maintains all previously submitted adaptation communications as a matter of public record. Parties may however request the secretariat to replace or delete previously submitted adaptation communications.

C. Using/Downloading

9. Parties, non-Party actors, other stakeholders and the public have access to [search], view, read and download the adaptation communications from the public registry.
10. Adaptation communications should be made available in different file sizes or resolution for easier downloading in countries with slow internet speed or limited capabilities for downloading.

IV. Roles

11. The following roles shall be assigned to Parties that make use of the registry referred to in Article 7, paragraph 12 and the secretariat:

- (a) Each Party shall designate a national focal point to manage a Party interactions regarding the adaptation communications and the secretariat that maintains the public registry;
- (b) The secretariat shall act as the custodian of the public registry and shall be responsible for its maintenance. To that end, the secretariat shall perform the following functions:
 - i. Establishes, operates and maintains the public registry as per the modalities and procedures included herewith, including precautionary actions to avoid unauthorized access and alterations of content;
 - ii. The secretariat communicates with, and provides assistance to, Parties, non-Party actors, other stakeholders and the public in using the public registry through a user guide, training and on-line support.

3.3 Matters referred to in paragraphs 41, 42 and 45 of decision 1/CP.21

A. Progress to date and ways forward

1. Progress on this item in Bangkok was very good, as the objective of reaching an agreed basis for negotiations and, possibly, a draft decision text was met. Based on the two informal notes from the May sessions, Parties prepared the Bangkok outcome in the form of a single draft text for matters referred to in paragraphs 41, 42 and 45 of decision 1/CP.21.

2. We are encouraged by the progress made in Bangkok: Parties are close to agreement on the review of adaptation-related institutional arrangements under the Convention and methodologies for assessing adaptation needs as reflected in relevant parts of the Bangkok outcome that are in the form of draft text without brackets. However, Parties must now resolve the following critical issues where several brackets and options remain:

(a) How exactly adaptation efforts would be recognized, including in the context of the global stocktake;

(b) How and by whom the mobilization of support would be facilitated, including as to whether the Standing Committee on Finance, the Technology Executive Committee and the Paris Committee on Capacity-building should prepare additional recommendations;

(c) Whether, and if so how and by whom, the methodologies for reviewing the adequacy and effectiveness would be developed.

3. In addition to the overall principles that guided us in the preparation of the textual proposals outlined in paragraph 21 of the joint reflections note, the following considerations were considered for this item:

(a) Streamlining the text by adding a preambular part which recalls the mandates and appreciates the work of the AC and the LEG, merging the two options in the section on mobilization of support as there was clear overlap and slightly revising the headings so as to better reflect the mandates;

(b) Adding further details that have been discussed, but not yet reflected, by adding timelines to the requests for further action and lightly editing such requests so as to ensure that such invitations are clear or to indicate (with curly brackets in some places) where further clarity might be required.

B. Textual proposals

Draft decision text on matters referred to in paragraphs 41, 42 and 45 of decision 1/CP.21

The Conference of the Parties serving as the meeting of the Parties to the Paris Agreement,

Recalling decision 1/CP.21, paragraphs 41, 42 and 45,

Also recalling Article 7, paragraph 14(a) of the Paris Agreement,

Noting with appreciation the technical work undertaken by the Adaptation Committee and the Least Developed Countries Expert Group, in collaboration with the Standing Committee on Finance,⁷ in relation to decision 1/CP.21, paragraphs 41, 42 and 45.

⁷ See documents FCCC/SB/2017/2, FCCC/SBI/2017/14 and FCCC/SB/2017/2/Add.1-FCCC/SBI/2017/14/Add.1.

B. Modalities to recognize the adaptation efforts of developing country Parties

1. *Notes* the existing work of the Adaptation Committee and the Least Developed Countries Expert Group related to synthesizing information on specific adaptation themes and lessons learned and good practices;
2. *Requests* the secretariat, under the guidance of the Adaptation Committee and the Least Developed Countries Expert Group:
 - (a) To prepare a synthesis report on the adaptation efforts of developing country Parties *{at [x]... (time/ interval)}* based on the most recent adaptation[-related documents] [communications, national adaptation plans, national communications, nationally determined contributions], the events referred to in paragraph 3 below and the reports referred to in paragraph 4 below, and any other relevant reports prepared under the transparency framework, and which should include but not be limited to information on risk and vulnerability, adaptation actions, resources used on adaptation actions, adaptation plans and policies to enable understanding of collective efforts and progress towards the global goal on adaptation;
 - (b) To organize [in the global stocktake referred to in Article 14 of the Paris Agreement] a high-level event *{at [x]... (time/ interval)}* informed by the reports referred to in paragraphs 2(a) above and 4 below in order to provide developing country Parties with an opportunity to present their adaptation efforts, in a nationally determined manner, [following a country-driven approach,] for recognition;
 - (c) To prepare a [non-prescriptive] summary of the high-level event, referred to in paragraph 2(b) above, taking into account the information contained in the synthesis report referred to in paragraph 2(a) above and any other input to be determined by the Conference of the Parties serving as the meeting of the Parties to the Paris Agreement;
3. *Decides* to make use of existing national, regional and global events, including NAP Expos and adaptation forums, to showcase the adaptation efforts of developing country Parties [to adaptation practitioners];
4. *Requests* the secretariat, under the guidance of the Least Developed Countries Expert Group and the Adaptation Committee[, with inputs from Parties] and in collaboration with relevant entities under [and outside] the Convention, to prepare synthesis reports *{at [x]... (time/ interval)}* on specific adaptation themes [requested by the Conference of the Parties serving as the meeting of the Parties to the Paris Agreement], focusing on lessons learned and good practices in developing country Parties and drawing on the outcomes of the events and outputs referred to in paragraphs 2 and 3 above;
5. [*Decides*, during the political phase of the global stocktake, to recognize the adaptation efforts presented, following a country-driven approach, by developing country Parties in the high-level event referred to in paragraph 2(b) above;]
6. [*Acknowledges* that the recognition of efforts in the framework of the global stocktake is linked to the collective progress towards achieving the purpose of the Paris Agreement on adaptation, including the global goal on adaptation;]

C. Ways to enhance the coherence of the work of adaptation-related institutional arrangements

7. *Decides* that the Adaptation Committee and the Least Developed Countries Expert Group shall serve the Paris Agreement;
8. *Assigns* any future emerging adaptation-related work necessary for the effective implementation of the Paris Agreement to existing institutions;

9. [[*Encourages*][*Requests*] institutional arrangements related to finance, technology development and transfer and capacity-building,⁸ in accordance with their mandates, to strive for a balance between adaptation and mitigation, while respecting a country-driven approach;]
10. *Invites* partner organizations of the Nairobi work programme on impacts, vulnerability and adaptation to climate change, in collaboration with the AC, to support the work of other adaptation-related institutional arrangements, in particular through providing relevant scientific and technical information and sharing knowledge;
11. *Requests* [the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention⁹ and] the Least Developed Countries Expert Group, in accordance with their mandates, as appropriate, ensuring efficiency and consistency, to work together on training for assessing vulnerability and other aspects of adaptation;
12. *Requests* the Adaptation Committee, as necessary and in consultation with relevant adaptation-related institutions, to continue to make recommendations, through its annual report, to enhance collaboration and promote coherence and synergies with a view to addressing the evolving adaptation-related needs of the Parties;
13. *Encourages* Parties to make available sufficient resources for the successful and timely implementation of the work of adaptation-related institutions under the Convention and the Paris Agreement;

D. Methodologies for assessing adaptation needs with a view to assisting developing countries without placing undue burden on them

14. [*Requests* the Subsidiary Body for Scientific and Technological Advice to develop guidelines at its 55th session (2021) on the ways of improving the applicability of a suite of methodologies to identify adaptation needs drawing on relevant information referred to in paragraphs 16-19 below, for consideration and adoption at its 3rd session;]
15. *Invites* the IPCC, to develop a special report on existing methodologies for assessing adaptation needs, including methods and tools for assessing adaptation support needs by XXX/2020;]
16. [*Requests* the Adaptation Committee and the Least Developed Countries Expert Group to jointly conduct and develop an inventory of relevant methodologies for assessing adaptation needs, including needs related to action, financial, capacity-building and technological support, which also includes consideration of the information contained in the UNFCCC “Adaptation Knowledge Portal”¹⁰ and the information from the Adaptation Committee’s desk review,¹¹ and various products of the Least Developed Countries Expert Group;]
17. [*Invites* developing country Parties to provide inputs on the development and implementation of methodologies for assessing adaptation needs, including needs for action and support by SBSTA 53;]
18. [*Invites* partner organizations of the Nairobi work programme on impacts, vulnerability and adaptation to climate change, in collaboration with users and developers of relevant methodologies, including academia and the private sector to provide inputs in the development of methodologies for assessing adaptation needs by SBSTA 53, and to

⁸ The institutional arrangements on finance include the operating entities of the Financial Mechanism of the Convention and the Paris Agreement.

⁹ Subject to the outcomes of the review of Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention.

¹⁰ <http://www4.unfccc.int/sites/NWP/Pages/Tools.aspx>.

¹¹ See documents https://unfccc.int/sites/default/files/ac11_6b_methodologies.pdf and https://unfccc.int/sites/default/files/ac10_4b_meth_adapt_needs.pdf.

document and disseminate good practices and lesson learned in relation to the implementation of those methodologies and their applicability;]

19. *Invites* all relevant entities to further improve the applicability of existing methodologies and tools for assessing adaptation needs related to action, financial, capacity-building and technological support;

20. *Also invites* the World Meteorological Organization, through its Global Framework for Climate Services, with a view to facilitating the development and application of methodologies for assessing adaptation needs, to regularly inform the Subsidiary Body for Scientific and Technological Advice about its activities to improve the availability and accessibility of comprehensive climate information, including observational data, and about how it facilitates the provision and dissemination of the most up-to-date climate model predictions and projections;

21. *Further invites* the Paris Committee on Capacity-building and providers of capacity-building, as appropriate and in accordance with their mandates, in further enhancing capacity-building efforts, to facilitate accessing and implementing methodologies for assessing adaptation needs in developing countries in the context of support for building the capacity to adapt;

E. Methodologies on taking the necessary steps to facilitate the mobilization of support for adaptation in developing countries

22.

Option 1

Requests the Standing Committee on Finance, the Technology Executive Committee and the Paris Committee on Capacity-building, in accordance with their mandates, to prepare recommendations, for consideration and adoption at its third session, for facilitating the mobilization of support for adaptation in developing countries in the context of the limit to the global average temperature increase referred to in Article 2 of the Paris Agreement, so as to ensure the availability of predictable and sustainable financial resources and technical support, to establish processes to identify new and additional resources, and to address uncertainties surrounding long-term financial flows and technical support;

Requests that in developing the recommendations referred to in the paragraph above, the relevant entities take into account:

- (a) The principle of equity and the best available science;
- (b) The recommendations from the Adaptation Committee and the Least Developed Countries Expert Group;¹²
- (c) Relevant submissions made by Parties and observers;
- (d) Ongoing relevant work under the Convention and work being conducted by Parties;

Option 2

Invites the Standing Committee on Finance to consider ways to enhance the mobilization of finance for adaptation, as appropriate and in accordance with its mandate;

23. *Invites* [developing country] Parties to further enhance their enabling environments, policy frameworks, institutions and national public financial management systems with a view to improving access to international public support and to enhancing the involvement of the private sector;

24. *Invites* [developed country] Parties, United Nations organizations, United Nations specialized agencies and other relevant organizations, as well as bilateral and multilateral

¹² See documents FCCC/SB/2017/2, FCCC/SBI/2017/14 and FCCC/SB/2017/2/Add.1-FCCC/SBI/2017/14/Add.1.

agencies, to assist the least developed country Parties and other developing country Parties, drawing on the work of the Adaptation Committee, the Least Developed Countries Expert Group and other relevant bodies, as appropriate, in building and/or strengthening enabling environments, policy frameworks, institutions and national public financial management systems to mobilize support for adaptation, in particular capacity-building, including as part of the process to formulate and implement national adaptation plans;

25. *[Invites [developing country] Parties to assess and prioritize their adaptation needs, including by taking into consideration methodologies for assessing adaptation needs;^{13]}*

26. *Invites Parties to continue engaging in adaptation planning processes and the implementation of actions, including the process to formulate and implement national adaptation plans;*

27.

Option 1

Invites developing country Parties to take advantage of the resources available through the operating entities of the Financial Mechanism to strengthen their institutional capacity to programme their priority climate actions as well as to track and report climate finance;

Option 2

Takes note of the resources available through the operating entities of the Financial Mechanism to strengthen their institutional capacity to programme their priority climate actions as well as to track and report climate finance;

28. *Invites Parties and relevant actors to ensure, as appropriate, that steps are taken to identify and subsequently remove perverse incentives that could result in non-resilient investments and planning decisions;*

29. *Requests Parties to report on support provided and received in line with the reporting instruments and modalities being developed under the Paris Agreement;*

30. *[Requests the operating entities of the Financial Mechanism to enhance the financial support for adaptation, as well as to [ensure][seek] that all the financial support provided to developing country Parties is balanced between adaptation and mitigation activities;]*

31. *[Requests the Technology Mechanism and the Paris Committee on Capacity Building to enhance and facilitate the support in technology transfer and capacity-building for adaptation in developing country Parties, promoting balance between adaptation and mitigation activities;]*

32. *[Invites Parties and relevant actors to aim to achieve a balance between support for adaptation and mitigation, taking into account country-driven strategies, and the priorities and needs of developing country Parties;]*

33. *[Invites Parties and relevant actors to mainstream adaptation considerations into broader development-related support;]*

34. *[Requests the secretariat to prepare, as one of the sources of input to the global stocktake, a collective assessment of the support needs for adaptation of developing country Parties on the basis of their most recent adaptation communication or other adaptation-related documents, with the aim of facilitating the mobilization of support for adaptation in developing countries in the context of the limit to global average temperature increase;]*

¹³ Including those considered in response to decision 1/CP.21, paragraph 42(b). See also AC documents AC/2016/13, AC/2017/4 and AC/2017/12, available at <https://unfccc.int/topics/adaptation-and-resilience/groups-committees/adaptation-committee/joint-ac-and-leg-mandates-in-support-of-the-paris-agreement>.

F. Methodologies on reviewing the adequacy and effectiveness of adaptation and support

35.

Option 1

O1.35.1 *Notes* the constraints encountered by the Adaptation Committee and the Least Developed Countries Expert Group in developing methodologies, including the differences in national circumstances of adaptation, the difficulties in setting adaptation baselines and targets, and the lack of common metrics for measuring progress on adaptation;

O1.35.2 *Also notes* that the current state of knowledge is not sufficient to address the mandate and requires time and effort to advance;

O1.35.3 *Invites* Parties, academia and others to undertake further technical work building on the existing work of the Adaptation Committee and the Least Developed Countries Expert Group [, in collaboration with the Standing Committee on Finance,] and taking into consideration ongoing relevant work under and outside the Convention, with a view to developing methodologies for reviewing the adequacy and effectiveness of adaptation and support;

O1.35.4 *Also invites* the Adaptation Committee and the Least Developed Countries Expert Group, in collaboration with the Standing Committee on Finance, and relevant experts to contribute to the technical work referred to in paragraph O1.35.3 above by:

Alt 1

(a) Continuing the analysis of methodologies for reviewing the adequacy and effectiveness of adaptation and support, taking into consideration the submissions referred to in paragraph O1.35.5 below;

(b) Exchanging information on methodologies, including metrics, for reviewing the adequacy and effectiveness of adaptation and support, and making it available;

Alt 2

Providing a compilation of existing methodologies and tools, used to develop monitoring and evaluation and learning systems/frameworks, for reviewing the adequacy and effectiveness of adaptation and support, taking into account the context specific nature of adaptation;

O1.35.5 *Further invites* Parties, United Nations organizations and specialized agencies and other relevant organizations, as well as bilateral and multilateral agencies, to submit *{at [x]... (time/ interval)}* to the Adaptation Committee and the Least Developed Countries Expert Group information on gaps, challenges, opportunities and options associated with methodologies for reviewing the adequacy and effectiveness of adaptation and support.

Option 2

O2.35.1 *Decides* that the following information should be considered by Parties in the review of the adequacy and effectiveness of adaptation action and support in the context of the global stocktake:

- (a) Adaptation needs, plans and strategies;
- (b) Enabling environments and policy frameworks;
- (c) Frameworks used for assessing the effectiveness of adaptation efforts;
- (d) Efforts and systems to monitor and evaluate the effectiveness of adaptation efforts;
- (e) Support through all instruments and channels, including domestic, international, public and private sources;

(f) Progress towards the implementation/achievement of adaptation goals, plans and strategies.

36. *Takes note* of the estimated budgetary implications of the activities to be undertaken by the secretariat referred to in paragraphs x–y above;

37. *Requests* that the actions of the secretariat called for in this decision be undertaken subject to the availability of financial resources.
