

Draft supplementary guidance for voluntary use by Parties in communicating information in accordance with the possible elements of an adaptation communication

Considerations

1. The following interim version has been prepared following a conference call with interested AC members on 3 February 2021. Updates have been made in Part II. This version does not present a fully revised draft, but merely a snapshot of the current status of work for further consideration.
2. It is based on the consideration that the draft supplementary guidance should:
 - a) Uphold consistency with agreed nature of adaptation communications, which may be submitted as component of/in conjunction with other communications or documents, and relationship with its possible “vehicles” as well as existing reporting and planning instruments;
 - b) Be based on provisions of decision 9/CMA.1;
 - c) Avoid creating any additional burden for developing country Parties;
 - d) Be sensitive to and avoid prejudging the outcome of UNFCCC negotiations, including those related to reporting (e.g. enhanced transparency framework);
 - e) Clarify the relationship between adaptation communication and other communicating and reporting arrangements, in particular “value added” of adaptation communication;
 - f) Reflect that adaptation is an iterative process with different stages that may overlap in timing and resources, and that should involve learning;
 - g) Ensure helpfulness to practitioners by focusing on concrete approaches that can facilitate communication on each element of information, and limited focus on context;
 - h) Be prepared with engagement of IPCC WGII and support from national-level practitioners;
 - i) Be shared with the adaptation community and made visible to practitioners;
 - j) Use presentational approaches such as: questions to guide users, illustrations, infographics, and overview tables to clarify complex issues, similar to the LEG technical guidelines for the NAP process;
 - k) Include examples of approaches relevant to each element of information, including references to innovative communication and reporting within UNFCCC.

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1. Introduction

1.1. Approach

1. This supplementary guidance has been prepared in response to a request by the CMA in its decision 9/CMA.1, paragraph 15.¹ It provides an overview of the guidelines for the adaptation communications (ADCOM) and related arrangements, and suggestions for applying the guidance for the ADCOMs as well as for navigating the linkages between the ADCOMs and other adaptation arrangements. It should be understood as a “travel guide” for those Parties who are preparing their ADCOM and are preparing the information outlined in annex of decision 9/CMA.1. It should help Parties to enhance the quality of information, reduce duplications and the work required to prepare that information, and help them benefit from synergies with other planning, implementation and reporting arrangements as they prepare their ADCOMs. It also aims to orient Parties towards the latest information tools that could be beneficial when preparing the ADCOM.
2. This supplementary guidance has greatly benefited from [placeholder for inputs received, including, if applicable, submissions, expert inputs, and engagement with the IPCC WG II].

1.2. Content

3. This document has two parts:
 - a) Part I provides an overview of the guidance and linkages relevant to the ADCOMs. This includes guidance specific to the ADCOMs, as well as guidance that becomes relevant when submitting an ADCOM as a component of or in conjunction with other communications and/or documents (referred to as “vehicle” documents). This part also explores the linkages between the ADCOMs and other adaptation arrangements under the Convention and the Paris Agreement, including potential opportunities for benefiting from information synergies between the two to minimize any reporting burdens. The section concludes with a summary of the key considerations pertaining to the submission of the ADCOM, including with different vehicle documents.
 - b) Part II focuses on the types of information that Parties may include in their ADCOMs. Each subsection of part II describes one of the nine elements of information identified in the annex to decision 9/CMA.1 and elaborates what Parties might wish to consider when preparing the information on that specific element. Each subsection provides:
 - i) A brief description of the element of information;
 - ii) A tabular overview indicating where guidelines for other vehicle documents stipulate the provision of similar types of information, with a view to facilitating the identification of information synergies and to minimize reporting burdens;
 - iii) References to tools that Parties can use to prepare the particular element of information, in particular studies, handbooks and methodologies that can enhance the quality of the element of information in question and facilitate its preparation;
 - iv) Based on the above, suggestions by the AC on how to facilitate the preparation of the element in question.

¹ In that paragraph, the CMA requested the Adaptation Committee to “develop, with the engagement of the IPCC Working Group II, using relevant existing guidance as a starting point, as appropriate, by June 2022, draft supplementary guidance for voluntary use by Parties in communicating information in accordance with the elements contained in the annex [of decision 9/CMA.1], for consideration by the subsidiary bodies at their fifty-seventh sessions (November 2022) in the context of their consideration of the report of the Adaptation Committee”.

2. Part I: guidance relevant for the adaptation communications

2.1. Existing guidance for the adaptation communications in the Paris Agreement and CMA decisions

4. The ADCOM is established in Article 7, paragraphs 10, 11 and 12 of the Paris Agreement. After Paris, the Ad Hoc Working Group on the Paris Agreement, under its item 4, developed further guidance in relation to the ADCOMs, which was adopted in decision 9/CMA.1. In addition, three further decisions specify other aspects of the ADCOMs². Together, these decisions determine for the ADCOM its purpose, role in the global stocktake, guiding principles, considerations related to its submission (including with other communications or documents), content, recording in a public registry, and support. Table 1 below provides an overview of the guidance contained in the Paris Agreement and CMA decisions.

Table 1. Key elements of the guidance for ADCOMs in the Paris Agreement and CMA decisions

Aspect of guidance	Provisions	Source
Overall mandate	Each Party should submit and update an ADCOM, which may include priorities, implementation and support needs, plans and actions, without a burden for developing countries.	Art 7.10
Purposes	Enhance visibility and profile of adaptation, and balance with mitigation; provide input to the GST; strengthen adaptation action and support for developing countries; enhance learning and understanding of adaptation needs and actions.	9/CMA.1, p. 1
Role in global stocktake	ADCOMs and other relevant information will be synthesized for GST and contribute to review of progress towards global goal on adaptation.	9/CMA.1, p. 14
	The GST shall, i.a. enhance implementation of adaptation action taking into account i.a. the ADCOM.	Art 7.14 (b)
	The secretariat prepares for GST a synthesis of state of adaptation efforts, experiences and priorities, based on i.a. information in the ADCOMs.	19/CMA.1, p. 23 (b), 36 (c)
Principles	Country-driven, flexible (including with regard to the vehicle document), no additional burden or basis for comparison or review	9/CMA.1, p. 2
Using vehicle documents (see also content below)	Shall be submitted and updated, as appropriate, as a component of/in conjunction with other communications or documents, including a NAP, a NDC and/or a national communication.	Art 7.11 9/CMA.1, p. 3
	May also be submitted with a biennial transparency report.	9/CMA.1, p. 4
	Encourages Parties to clearly identify the ADCOM within the vehicle document, and to number their ADCOMs sequentially.	9/CMA.1, p. 10
Content	Parties may include information on: (a) national circumstances, institutions, legal frameworks; (b) impacts, risks and vulnerabilities; (c) priorities, strategies, policies, plans, goals and actions; (d) implementation and support needs, provision of support; (e) implementation, including progress and results; adaptation efforts for recognition; cooperation; barriers, challenges and gaps; good practices, lessons and information sharing; monitoring and evaluation; (f) adaptation and economic diversification plans with mitigation co-benefits; (g) contribution of adaptation to other frameworks and conventions; (h) gender responsiveness and traditional, indigenous and local knowledge; (i) any other information	9/CMA.1, Annex

² These are: (a) decision 10/CMA.1, which adopts the modalities and procedures for the public registry in which ADCOMs will be recorded; (b) decision 19/CMA.1, which guides the global stocktake and outlines how the ADCOM will be considered in the technical assessment component of the global stocktake, and (c) decision 1/CMA.2, which encourages Parties to submit their ADCOM as soon as possible

	Parties are invited to include information on elements (a-d), and additionally on (e-i) (see above)	9/CMA.1, p. 7
	Parties are invited to include ex ante information based on the elements of the annex	9/CMA.1, p. 8
	Parties may “tailor” the information, considering the vehicle document used	9/CMA.1, p. 9
	If submitted with an NDC, Parties are encouraged to use the guidance in this decision (9/CMA.1). ³ If NDC is in context of Art 4.7, the Party is invited to provide information on element (f) (see below).	9/CMA.1, p. 11-12
	If submitted with a national communication, Parties may provide information considering document FCCC/CP/1999/7 (for developed countries) ⁴ and decision 17/CP.8 (for developing countries).	9/CMA.1, p. 13
	If submitted with a NAP, Parties may provide information considering decision 5/CP.17.	9/CMA.1, p. 13
Timing of submission	Parties are invited to submit their ADCOM in time to inform each GST	9/CMA.1, p. 6
	Encourages Parties to submit their first ADCOM as soon as possible for timely input to first GST.	1/CMA.2, p. 12
International recording	Shall be recorded in a public registry maintained by the secretariat. (<i>note: modalities and procedures for the public registry are contained in decision 10/CMA.1</i>)	Art 7.12, 9/CMA.1, p. 5, 10/CMA.1
Support	Continuous and enhanced international support shall be provided to developing countries for implementation of i.a. Article 7, paragraphs 10 and 11 in accordance with the provisions of Articles 9, 10 and 11.	Art 7.13
	Urges developed countries and invites other Parties to voluntarily provide resources; and UN organizations, and other organizations and agencies to continue mobilizing support to adaptation by developing countries.	9/CMA.1, p. 19
	Invites GEF, under existing mandates, to consider channeling support to developing countries for preparation and submission of ADCOMs.	9/CMA.1, p. 20
	Encourages GCF, GEF, AF, CTCN and PCCB to continue channeling support to developing countries for the implementation of adaptation in accordance with priorities and needs outlined in ADCOMs.	9/CMA.1, p. 21

³ Similarly, decision 4/CMA.1 stipulates that Parties may provide information other than mitigation in their NDCs, in particular, an adaptation communication may be submitted with an NDCs, noting the guidance in decision 9/CMA.1.

⁴ At COP 25 in Madrid, Parties adopted revised guidelines for national communications of annex I Parties. They are contained in [decision 6/CP.25](#). They will be applicable beginning with the eighth national communications, which must be submitted latest by 31 December 2022.

Figure 1. Overview of key elements of the guidance for ADCOMs

Purpose	<ul style="list-style-type: none"> • Strengthen visibility, profile, balance, action, support, learning and understanding
Global stocktake	<ul style="list-style-type: none"> • Information on state of adaptation, experiences, priorities • Contribute to review of progress and enhanced implementation
Principles	<ul style="list-style-type: none"> • Country-driven, flexible • No additional burden or basis for comparisons or reviews • Voluntary
Submission	<ul style="list-style-type: none"> • With "vehicle" documents (NAP, NDC, NC, BTR) or independently; clearly identified; recorded in a registry
Information	<ul style="list-style-type: none"> • Circumstances, institutions, vulnerabilities, priorities, plans, needs, progress, co-benefits, other frameworks, gender, indigenous knowledge • Ex ante information; "priority" vs "additional"; tailored to "vehicle" document
Timing	<ul style="list-style-type: none"> • In time to inform each GST • ASAP to inform first GST
Support	<ul style="list-style-type: none"> • GEF: invited to support ADCOM preparation under existing mandates • Other institutions: support adaptation in accordance with ADCOM priorities

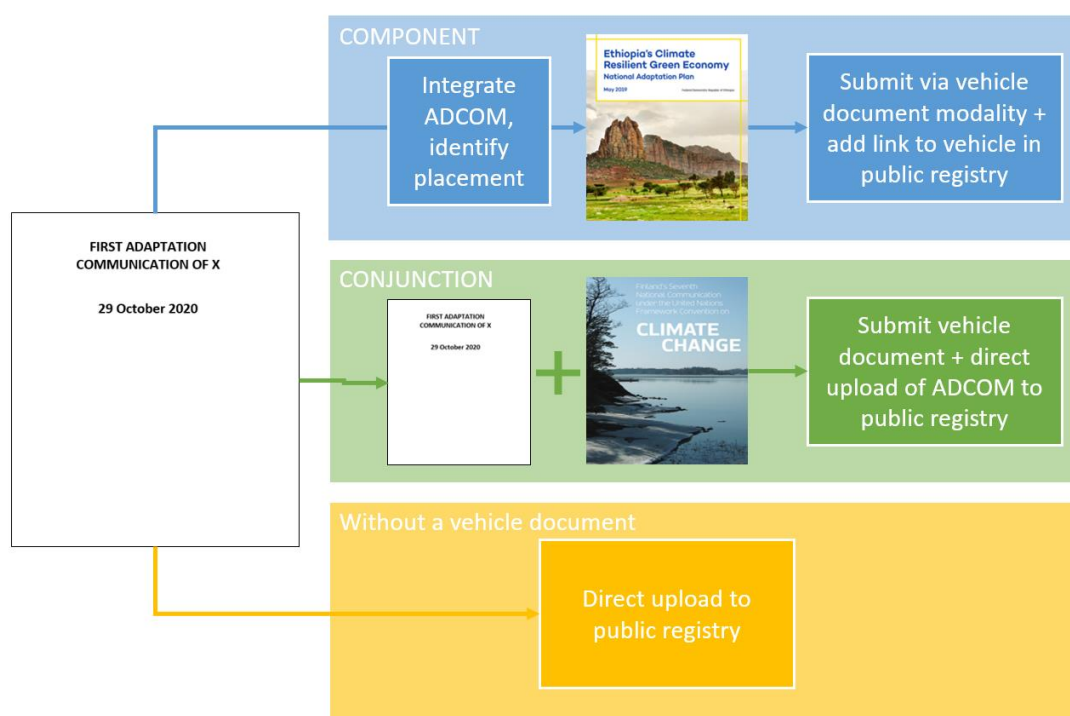
2.2. Submitting an adaptation communication as a component of, or in conjunction with, other communications and/or documents: relevant guidelines and considerations

5. As indicated above, both the Paris Agreement and decision 9/CMA.1 stipulate that the ADCOM shall be submitted, as appropriate, with other vehicle documents. They identify four possible, though not exclusive, vehicle documents: national adaptation plan (NAP), nationally determined contribution (NDC), national communication (NC), and biennial transparency report (BTR). Given the "as appropriate" provision, Parties may also submit their ADCOM without a vehicle document, in which case the applicable guidance is that contained in decision 9/CMA.1. However, those Parties intending to submit with a vehicle document should prepare their ADCOM while considering the existing guidance available for the vehicle document they choose, including its submission modalities and timeframes. Parties also have the possibility of changing the vehicle document between ADCOMs. This section describes the implications of this interlinked submission modality, outlines the existing guidance for possible vehicle documents and elaborates on several specific issues that Parties may wish to consider when submitting with a specific vehicle document.

6. Article 7, paragraph 11 of the Paris Agreement outlines three broad options for submitting and updating an ADCOM:

- a) As a **component** of a chosen vehicle document, meaning that the ADCOM is integrated with the vehicle document;
- b) In **conjunction** with a chosen vehicle document, meaning that the ADCOM is separate from the vehicle document, but submitted together;
- c) As a stand-alone document.

7. Figure 2 below illustrates the implications of these three options.

Figure 2. Three options for submitting and updating an ADCOM

8. Submitting an ADCOM as a **component** of a vehicle document involves integrating it into the vehicle document. The nature of the integration is up to the submitting Party. Possible approaches include e.g. identifying an existing part of the vehicle document as the ADCOM⁵, integrating the ADCOM as a new section, or by adding the ADCOM as an annex. Whichever form of integration a Party chooses, it should clearly identify where the ADCOM is located within the vehicle document (decision 9/CMA.1, paragraph 10). Once prepared, Parties should submit the entire document through the submission modality of the vehicle document (such as the NDC interim registry, NAP Central, the UNFCCC portal for national communications, or a future arrangement for BTRs). Finally, the submitting Party should upload a link to the already submitted vehicle document to the public registry, accompanied by the following information: 1. Type of vehicle used; 2. Language of the document; and 3. Page numbers of the ADCOM within the vehicle document.

9. Submitting an ADCOM in **conjunction** with a vehicle document implies that the two documents are submitted together but kept separate. In this case, the Party determines how to characterize the linkages between the ADCOM and the vehicle document. This can be done via e.g. cross-referencing between the documents, or, for instance, through a joint cover letter to the secretariat informing about the submission. In terms of processing, the two documents should be submitted separately, with the vehicle document going through its specific modality (see above), and the ADCOM uploaded as a full file into the public registry.

10. In the case of submitting an ADCOM without using a vehicle document, no synchronization with a vehicle document is required. In this case, the Party simply uploads the file containing the ADCOM directly into the public registry.

11. In all the above cases, decision 9/CMA.1 encourages Parties to number their ADCOMs sequentially (paragraph 10).

⁵ As of 1 February 2021, nine Parties have identified the adaptation components of their first NDC as their ADCOM, three Parties have submitted an ADCOM as an independent document, and one Party has identified the adaptation sections of its seventh national communication as their ADCOM. See <<https://unfccc.int/topics/adaptation-and-resilience/workstreams/adaptation-communications>> for more information.

12. In addition, when submitting their ADCOM, Parties would need to consider how the submission relates to the submission timeframes of the vehicle document chosen.

For the various submission pathways, the secretariat has been requested by the CMA to provide assistance to Parties, other stakeholders and the public in the use of the public registry, including via a user guide, training programmes and online support. Any queries in this regard can be directed to adaptation-communications@unfccc.int.

2.3. Scope of, and information synergies with, existing guidelines for the main vehicle documents

13. In addition to the submission options outlined above, it is important to consider the existing guidance for the potential vehicle documents to enhance the coherence of information, to reduce duplications, and to benefit from information synergies between the ADCOM and the vehicle document. This section provides an overview of such guidance and outlines linkages and potential information synergies between the ADCOM and the vehicle documents. Table 2 below identifies the documents in which Parties can find the guidelines for the four main vehicle documents identified by the Paris Agreement and decision 9/CMA.1. The sections that follow provide a short description of each set of guidance and elaborate on the information synergies with the ADCOM guidelines.

Table 2. Locating relevant parts of the guidance for the main ADCOM vehicle documents

Vehicle document	Guideline document(s)	Sections/paragraphs with adaptation-specific or -related provisions	Hyperlink
NAP ⁶	Decision 5/CP.17 (initial guidelines for the formulation of NAPs)	Entire document	https://unfccc.int/files/adaptation/cancun_adaptation_framework/national_adaptation_plans/application/pdf/decision_5_cp_17.pdf
	LEG Technical Guidelines for the NAP Process	Entire document	https://unfccc.int/topics/adaptation-and-resilience/workstreams/national-adaptation-plans-naps/guidelines-for-national-adaptation-plans-naps
NDC	Decision 4/CMA.1	Paragraphs 8, 10 and 16 Annex I (paras 3 (d) and 4 (d))	https://unfccc.int/sites/default/files/resource/cma2018_3_add1_advance.pdf
	Decision 9/CMA.1	Entire document	
NC	Decision 6/CP.25 (for developed countries)	Section VII (paras 46-47)	https://unfccc.int/sites/default/files/resource/cp2019_13a01_adv.pdf
	Decision 17/CP.8 (for developing countries)	Paras 3-4 and 26, Section B (paras 28-36)	https://unfccc.int/files/meetings/workshops/other_meetings/application/pdf/dec17-cp.pdf
BTR	Decision 18/CMA.1	Annex (paras 10 (c), 13 and 14) AND chapter IV (paras 104-117)	https://unfccc.int/sites/default/files/resource/CMA2018_03a02E.pdf

2.3.1. National Adaptation Plans (NAPs)

14. NAPs are national policy instruments for coordination and driving national adaptation actions, ideally serving as an umbrella plan of action for national adaptation, and embracing all sectors, levels of governance, and geographical areas. One of the outputs of the NAP process can be a document submitted to NAP Central, which can serve as vehicle document for an ADCOM. Initial guidelines for NAPs were adopted in decision 5/CP.17, and the Least Developed Countries Expert Group (LEG) developed the *Technical Guidelines for the NAP Process* in 2011. In addition, the COP has adopted further decisions to address specific

⁶ NAPs are an instruments for planning and implementation of adaptation at the national level. They can result in a document submitted to the UNFCCC, which can provide the vehicle for an ADCOM.

aspects of NAPs⁷, and various supplementary materials are available to support the NAP process.⁸ Decision 5/CP.17 identifies four elements of the process to formulate and implement NAPs: A. Laying the groundwork and addressing gaps; B. Preparatory elements; C. Implementation Strategy; D. Reporting, Monitoring and Review. As of 17 November 2020, 20 countries had completed the preparation of their first NAP and shared them on NAP Central. 125 developing countries had undertaken activities related to the process to formulate and implement NAPs, 55 of which are being supported by the GCF in formulating their NAPs.⁹

15. The COP has adopted a set of decisions related to providing information on the process to formulate and implement NAPs, in particular (see annex I for details):

- a) 5/CP.17 invited Parties to provide information on their NAPs, as part of their national communications and other channels (paras 32-33), including progress made and effectiveness (annex, para 6 (b)). The decision also invited United Nations and other organizations to provide information on activities to support the NAP process (para 35);
- b) 3/CP.20 invited Parties to forward outputs and outcomes related to NAPs to NAP Central and other means as appropriate (para 9);
- c) 8/CP.24 invited Parties to continue providing information on progress towards the achievement of the objectives of the process to formulate and implement NAPs and on experience, best practices, lessons learned, gaps and needs, and support provided and received via an online questionnaire on NAP Central or other means as appropriate (para 23);
- d) In addition, the LEG Technical Guidelines provide recommendations on how to report on NAPs.

16. Given that NAPs provide a framework for holistic planning of adaptation efforts in all relevant sectors and governance levels, they generate a large body of detailed information that can be beneficial for the preparation of the ADCOM. More specifically, the four elements of the process to formulate and implement NAPs encompass a wide range of adaptation-related activities, in particular:

- a) Synthesizing available information, resources, programmes, projects, stakeholders, gaps and needs;
- b) Understanding the development context and its relevance to adaptation;
- c) Defining governance arrangements for adaptation;
- d) Analyzing climate change scenarios and risks, and assessing vulnerabilities;
- e) Identifying adaptation options as well as activities to integrate adaptation into planning, and prioritizing options;
- f) Developing an implementation strategy;
- g) Implementing the actions;
- h) Monitoring and reviewing progress and reporting.

17. Such activities are closely linked with the types of information identified as possible elements of ADCOMs identified by decision 9/CMA.1. This applies especially to the following elements: (a) national circumstances, arrangements and frameworks; (b) impacts, risks and vulnerabilities; (c) adaptation priorities and plans; (d) needs; (e) implementation of actions, including monitoring and evaluation. Given such information synergies, the ADCOM can be built on the information collected and generated by the relevant government agencies during the formulation and implementation of the NAP. This provides various opportunities to tailor the information in the ADCOM to be coherent with the NAP, helps reduce duplications and additional burdens, and is compatible with the aim of the ADCOM to enhance the visibility and profile of adaptation. Therefore, Parties intending to submit their ADCOM with a NAP should consider the existing guidance outlined above in detail, and establish working arrangements and information sharing

⁷ <https://unfccc.int/topics/adaptation-and-resilience/workstreams/national-adaptation-plans-naps/decisions-conclusions-national-adaptation-plans>

⁸ <http://www4.unfccc.int/nap/Guidelines/Pages/Supplements.aspx>

⁹ See document FCCC/SBI/2020/INF.1, page 6, for more information.

that enable the preparation of the ADCOM to draw on the information generated during the formulation and implementation of the NAP.

2.3.2. Nationally Determined Contributions (NDCs)

18. Article 3 of the Paris Agreement stipulates that:

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

19. NDCs are communicated by Parties every five years, in accordance with decision 1/CP.21 and any relevant decisions of the CMA (Article 4, paragraph 9). In 2020, many Parties submitted their second or updated NDCs, which are captured in the NDC interim registry maintained by the secretariat.¹⁰

20. In the Lima Call for Climate Action, COP 20 provided the opportunity to Parties to include an adaptation component in their intended nationally determined contributions (INDCs) (decision 1/CP.20, para 12). On this basis, many Parties included an adaptation component in their INDCs, which, upon ratification of the Paris Agreement, were converted into NDCs (unless a Party requested otherwise). As a result, NDCs of 132 Parties currently contained in the NDC interim registry include an adaptation component.¹¹ Of the [48] new and updated NDCs submitted by Parties in 2020/2021, [39] contain adaptation information, and eight of them are designated as ADCOMs¹².

21. The Paris Agreement and CMA decisions elaborate how adaptation information can be provided as part of NDCs¹³. The Paris Agreement, in its Article 7, paragraph 11, identifies an “adaptation component of an NDC” as one of the vehicle documents for an ADCOM. In addition, decision 4/CMA.1, paragraph 8, and decision 9/CMA.1, paragraph 11, indicate that the guidance for the ADCOM in decision 9/CMA.1 is relevant for preparing adaptation components of NDCs. No other guidance exists under the Convention or the Paris Agreement for preparing adaptation components of NDCs. Therefore, the guidance in 9/CMA.1 can be understood as having a double function: it serves as the cross-cutting guidance for ADCOMs, and as the guidance for adaptation components of NDCs specifically. Consequently, if using an NDC as a vehicle document, Parties can draw mainly on the guidance in 9/CMA.1, in particular when defining the content of the ADCOM. However, the vehicle of submission does not necessarily determine the sources of information. Therefore, in this case, a Party can also benefit from considering and building on the information generated by e.g. the process to formulate and implement NAPs to develop the adaptation component of their NDC. In addition, when using the NDCs as a vehicle, Parties will need to follow the timeframes for submission of NDCs (every 5 years, in 2020, 2025, 2030, etc.).

2.3.3. National communications

22. National communications are regular and comprehensive reports by Parties on all aspects of their climate efforts. Annex I Parties submit their NCs every four years (the eighth national communications are due no later than 31 December 2022), with the purpose of enhancing transparency, consistency, and comparability of information, enable review and assessment of implementation, and monitor progress towards UNFCCC goals. The guidance for Annex I NCs was updated at COP 25 in Madrid (decision 6/CP.25)¹⁴. NCs of Annex I Parties are submitted through the UNFCCC’s [National Reports Submission Portal](#), posted on the UNFCCC website, and compiled and synthesized by the secretariat on request by Parties. The guidelines specify a set of adaptation information to be included (see table 3 below, and annex I for details).

¹⁰ <https://www4.unfccc.int/sites/NDCStaging/Pages/All.aspx>

¹¹ A summary of the types of the adaptation information contained in the INDCs the first round of NDCs is available in sections I.E and II.F of the document *Aggregate effect of the INDCs: an update by the secretariat*.

¹² See <https://unfccc.int/topics/adaptation-and-resilience/workstreams/adaptation-communications>

¹³ Article 7, paragraph 11 of the Paris Agreement; decision 9/CMA.1, paragraphs 3, 11 and 12; as well as decision 4/CMA.1, paragraph 8, 10, 16 and Annex I (paras 3 (d) and 4 (d)).

¹⁴ Available at: <https://unfccc.int/sites/default/files/resource/cp2019_13a01E.pdf>.

23. The guidance for NCs of developing countries was adopted in 2002 (decision 17/CP.8)¹⁵. The purpose of the guidelines is to encourage consistency, transparency and comparability of information, facilitate policy guidance to the operating entities of the financial mechanism, and ensure that the COP has sufficient information for assessing the status of implementation. NCs of non-Annex I Parties are generally submitted every 4 years through the same [National Reports Submission Portal](#), and the secretariat posts them on its website. In terms of the content, NCs of non-Annex I Parties should contain information on e.g. national circumstances, vulnerabilities, adaptation plans and priorities, implementation, challenges and gaps, monitoring and evaluation, and support (see table 3 below, and annex I for details).

24. Similar to NAPs, when submitting an ADCOM with an NC, Parties can benefit from significant information synergies between the two instruments due to the similarities in the types of information. Table 3 below provides an overview of the information synergies between ADCOMs and NCs. The overlaps are particularly clear on the areas of vulnerability and impacts, adaptation plans and priorities, implementation, and information related to support. In addition, NCs of non-Annex I Parties overlap with ADCOMs in terms of information on barriers, challenges and gaps, as well as monitoring and evaluation.

Table 3. Potential information synergies between ADCOMs and national communications

Note: the numbers identify the paragraph(s) of the guidelines in which the category of information is identified in.

Type of information	NC, Annex I Parties	NC, non-Annex I Parties	ADCOM
Adaptation-related national circumstances, development priorities, institutions, governance, laws, policies, regulations		3, 4, 36	(a)
Research on vulnerabilities and adaptation	46, 47 (a)	44	
Observed and expected impacts, risks, trends and hazards	46, 47 (c)		(b)
Vulnerability to adverse effects/vulnerability and adaptation assessments	47 (b)	29, 32-34	(b)
Adaptation goals, actions, objectives, undertakings, efforts, plans, solutions, priorities	47 (d)	26, 28, 53	(c)
Adaptation actions and/or economic diversification plans, mitigation co-benefits			(f)
Implementation of adaptation	46, 47 (f)	29, 53	(e), (i-ii)
Integrating climate change into development efforts and other policies		41, 47	
Gender-responsiveness and integration; sci./trad./indig./local knowledge			(h)
Barriers, challenges and gaps related to implementation		53	(e) (iv)
Monitoring and evaluation/relevant systems/adaptation-related indicators	47 (e)	35	(e) (vi)
Implementation/support needs of developing countries			(d)
Assistance/support provided to developing countries, including for adaptation	Part VIII		(d)
How support meets adaptation needs		53	
Cooperation, good practices, experience and lessons learned			(e)(iii / v)
Contribution of adaptation to other international frameworks			(g)
Any other information			(i)

25. All Parties have already submitted at least one NC, which may yield further benefits because they are thus likely to have acquired experience, developed relevant databases, and built key capacities, which can be drawn upon to collect information for the ADCOM.

¹⁵ Revision of the guidelines for NCs of non-Annex I Parties is being considered by the SBI, with focus on information communicated in NCs, taking into account decision 18/CMA.1 (guidelines for BTRs). However, at its session in June 2019, the SBI Subsidiary Body for Implementation continued to hold the item in abeyance.

2.3.4. Biennial transparency reports

26. The purpose of the BTRs, specifically from the perspective of adaptation, is to provide a clear understanding of adaptation actions under Art. 7 of the Paris Agreement, including good practices, priorities, needs and gaps, to inform the global stocktake (GST) (Paris Agreement Art. 13.5). In addition, decision 18/CMA.1 stipulates that the BTR could facilitate the recognition of adaptation efforts of developing countries (para 105). BTRs will be submitted every 2 years, beginning in 2024 (18/CMA.1, para 3). The secretariat posts them on the UNFCCC website and synthesizes them (Ibid., para 6). In addition, they are considered in the synthesis reports prepared for the GST. The guidance for BTRs was adopted at COP 24 in Katowice in decision 18/CMA.1. Generally, the guidelines define the purpose, timeframes, process and types of information to be included (see annex I for details).¹⁶

27. In paragraphs 104 to 117 of the Annex to 18/CMA.1, the guidelines for the BTR identify a detailed set of information that should be included on adaptation, while emphasizing that the provision of such information is not mandatory. However, Parties may also cross-reference adaptation information in other documents, and focus on updates of previous information (Ibid., para 14).

28. The BTRs will become available as a vehicle document when their submission begins in 2024. If submitting an ADCOM as a component of a BTR, Parties might need to consider how the ADCOM operates in parallel with the 2-year cycle for BTRs. However, since there is neither an obligation to include adaptation information in a BTR, or to submit an ADCOM every two years, Parties can adapt their ADCOM submission cycle around the BTR cycle, for instance, by submitting an ADCOM with every second BTR, or by providing an additional ADCOM that updates the information in a previously submitted BTR as needed. Another possibility is to vary the type of information that the ADCOM contains in each BTR (e.g. ex ante information every two years, and ex post information every two years).

29. As in the case of NCs and NAPs, ADCOMs and BTRs involve similar types of information, opening further possibilities for information synergies. These are identified in table 4 below.

Table 4. Potential information synergies between ADCOMs and BTRs

Note: the numbers identify the paragraph(s) of the guidelines in which the category of information is identified in.

Type of information	ADCOM	BTR
Adaptation-related national circumstances, development priorities, institutions, governance, laws, policies, regulations	(a)	106 (a-c), 109 (d)
Research on vulnerabilities and adaptation		116 (b)
Observed and expected impacts, risks, trends and hazards	(b)	107 (a-b)
Vulnerability to adverse effects/vulnerability and adaptation assessments	(b)	B, 107 (c)
Information on loss and damage		115
Adaptation goals, actions, objectives, undertakings, efforts, plans, solutions, priorities	(c)	108 (a), 109 (b) / (g)
Adaptation actions and/or economic diversification plans, mitigation co-benefits	(f)	109 (e)
Stakeholder involvement (subnational, community, private sector)		109 (h)
Implementation of adaptation	(e), (i-ii)	108 (a), 109 (a), 110 (a-e), 111, 113 (d)
Integrating climate change into development efforts and other policies		109 (f)
Gender-responsiveness and integration; sci./trad./indigenous/local knowledge	(h)	109 (c)

¹⁶ In June 2019, the SBSTA, under its agenda item 10 (d), launched work to develop outlines for the biennial transparency reports BTRs (Ibid., paras 12 (b) and 13). This can have implications on the structure of the adaptation information included in the BTRs.

Effectiveness and sustainability of adaptation		111, 114 (a-b)
Barriers, challenges and gaps related to implementation	(e) (iv)	108 (b)
Monitoring and evaluation/relevant systems/adaptation-related indicators	(e) (vi)	112-113
Implementation/support needs of developing countries	(d)	
Assistance/support provided to developing countries	(d)	
How support meets adaptation needs		113 (d) (ii)
Cooperation, good practices, experience and lessons learned (e.g. on science, policy, integration)	(e) (iii), (v)	116
Contribution of adaptation to other international frameworks	(g)	
Any other information	(i)	117

2.4. Considerations and observations on part I

30. This section has described the existing guidance for the ADCOM itself and for its various vehicle documents, outlined the general submission options for the ADCOM, and considered the implications of the different types of guidance for the preparation and submission of the ADCOM.

31. The similarities in the types of information reported under other adaptation arrangements illustrate the possibilities to build the ADCOM on information prepared for existing documents: the Paris Agreement and decision 9/CMA.1 link the ADCOM with other communications and/or documents, and also emphasize the importance of avoiding additional burdens and duplications. Paragraph 9 of decision 9/CMA.1 stipulates that Parties may tailor the information in the adaptation communication based on the “vehicle” document. Similarly, paragraph 13 states that, when submitting their adaptation communication together with NAP-related documents, Parties should consider the guidelines for NAPs contained in decision 5/CP.17, and, when submitting together with NCs, consider the respective guidelines as well, contained in decision 17/CP.8 for developing countries, and in decision 6/CP.25 for developed countries. This provision implies that Parties can either use existing information to populate their ADCOM, include a summary of that information, or make a cross-reference to it. This will help reduce the burden of preparing the ADCOM.

3. Part II: supplementary guidance to facilitate the preparation of information on specific elements

32. This part elaborates what Parties might wish to consider when preparing the information on each of the nine types of information identified in the annex of decision 9/CMA.1. For each element, this part provides a brief description, an overview of the instances where related information appears in other UNFCCC guidelines, [examples][an overview] of resources that can facilitate the preparation of the element, and suggestions by the AC for such preparation.

3.1. [Communicating information on possible elements of an adaptation communication: relevant linkages, existing approaches and methodologies]

33. [Placeholder for general suggestions related to communicating adaptation information (e.g. based on IPCC 1994 and IEA 2009)]

3.2. National circumstances, institutional arrangements and legal frameworks

34. The three types of information contained within this element can be characterized as follows:

- a) National circumstances can be understood as information on geography, population, political context, economy, and available resources that may affect adaptive capacity. This information helps understand vulnerabilities, capacities, responses, and challenges (UNFCCC 2003, 6).
- b) Institutional arrangements (hereinafter referred to as “institutions”) refer to governance and/or administrative structures relevant to adaptation in place at various levels of government.

- c) Legal frameworks are national laws, acts, regulations, or other instruments of binding legal character that guide adaptation efforts.

3.2.1. Provision of information on this element under other UNFCCC arrangements

35. Table 5 below indicates how reporting and communication of information on this element and its component parts is stipulated in guidelines of other UNFCCC arrangements.

Table 5. Provision of information related to national circumstances, institutional arrangements and legal frameworks under various UNFCCC guidelines (see annex for detailed information)

ADCOM (para (a), annex, 9/CMA.1)	Non-annex I NCs (17/CP.8)	NAPs (5/CP.17, 3/CP.20, 8/CP.24, LEG guidelines)	BTRs (18/CMA.1)
National circumstances	Development priorities and national circumstances relevant to adaptation (e.g. geography, climate, economy, concerns about impacts of response measures) (3); tabular form encouraged (4)	Summary of national circumstances (LEG, page 115),	National circumstances relevant to adaptation (biogeophysical characteristics, demography, economy, infrastructure, adaptive capacity) (106 (a))
Institutional arrangements	None	Institutions relevant to NAP (LEG, page 115)	Institutions and governance for assessing impacts, sectors, decision-making, planning, coordination, cross-cutting issues, priorities, consultation, participation, implementation, data, M&E, and reporting) (106 (b))
Legal frameworks	None	None	Legal and policy frameworks and regulations (106 (c))

3.2.2. Resources that can facilitate preparing information on this element

3.2.2.1. NAP technical guidelines

36. The LEG NAP technical guidelines contain provisions that can facilitate the preparation of this element. In particular, they identify possible components of a progress report on the NAP to the COP, including information on relevant national circumstances; development priorities, objectives and circumstances; geography, climate, and the economy which may affect ability to make progress in the NAP process; as well as institutions relevant to the NAP (LEG 2012, 115).

3.2.2.2. UNFCCC User Manual for the Guidelines on National Communications from Non-Annex I Parties

37. This User Manual¹⁷ recommends, in particular, that:

- a) Information on national circumstances should be linked to other chapters of the NC, and that other subject areas should refer to the national situation;
- b) The section on national circumstances could include information on:
 - i) Geography, including climate, forests, land use, and other environmental aspects;
 - ii) Population, including growth rates, distribution, density and other vital statistics;
 - iii) Economy, including energy, transport, industry, mining, tourism, agriculture, fisheries, waste, health and services sectors;
 - iv) Education, including scientific and technical research institutions;
 - v) Any information considered relevant by the Party, e.g. information relating to Article 4.8, 4.9 and 4.10, of the Convention;

¹⁷ Available at <https://unfccc.int/process-and-meetings/transparency-and-reporting/support-for-developing-countries/guidelines-and-manuals-for-the-preparation-of-non-annex-i-national-reports-and-international#eq-2>

- c) Tabular format, tables and charts can enhance the presentation of information (UNFCCC 2003, 6).
38. The Manual also suggests types of information on institutions, in particular:
- a) Distribution of responsibilities within departments, universities, research institutions;
 - b) National Climate Change Committees or other relevant coordinating bodies, including their establishment, funding, and membership;
 - c) Involvement and participation of stakeholders;
 - d) Role of technical/expert groups or teams (e.g. for vulnerability and adaptation assessment).

3.2.2.3. CGE Handbook on institutional arrangements to support MRV/transparency of climate action and support

39. This Handbook¹⁸ aims i.a. to help practitioners and experts improve reporting on institutions (CGE 2020, 58- 61). While the considerations are mainly in the context of transparency and the ETF, some can be applicable to reporting on adaptation-related institutions. The Handbook emphasizes the importance of describing how institutions involve stakeholder cooperation, how they are sustainable or could be made so, and how they are integrated with adaptation strategies and environmental goals. It also highlights the importance of gender-disaggregated data, such as quantitative or qualitative assessments of how women and men benefit from capacity-building, as well as data on gender splits across various activities.
40. The Handbook suggests that the information reported on institutions can include, i.a.:
- a) Overall description of relevant institutions, and interlinkages between them;
 - b) A description of how the institutions enable efforts to ensure compatibility between climate actions and other environmental goals and the SDGs.
41. For adaptation, it notes in particular the importance of information on institutions and governance for:
- a) Monitoring and reporting, including for collecting data for impacts analysis and action, data governance, monitoring and evaluation, and reporting;
 - b) Action, including organizations; mandates and processes for designing and implementing action at different levels; decision-making, planning, coordination, cross-cutting issues; adjustments of priorities; consultation, participation, implementation; as well as laws, policies and regulations.
42. In terms of presentational tools, the Handbook recommends using organization charts to help readers understand interlinkages between institutions.

3.2.3. Linkages and observations

43. The comparison outlined in table 5 above indicates that information on *national circumstances* may have been prepared under existing processes. In particular, non-annex I Parties who have prepared an NC are likely to have developed arrangements for such information. Similarly, given that the NAP process is designed to conform to national circumstances, the formulation of NAPs provides an opportunity to improve understanding of this element.

44. Parties' NCs also illustrate how information on national circumstances can be collected from national ministries and agencies such as statistics agencies, meteorological institutions, financial entities, research institutes, scientific studies, and/or organizations for sectoral governance. Other possible sources are international organizations, such as the World Bank, UNDP, the IPCC, or the OECD.

45. Information on institutions is different from national circumstances because it relates to the structure of governance related to adaptation, is more likely to be readily available as part of overall government operations, and ideally would not involve any additional study or procurement. The presentation of this information could be enhanced by using visual tools to provide a concise overview of the arrangements and their role in the governance of adaptation efforts.

¹⁸ Available at: https://unfccc.int/sites/default/files/resource/Hand%20book_EN.pdf

46. Like institutions, information on legal frameworks is likely to be readily available as part of a national legislative record. Based on such a record, Parties can prepare a concise overview of those frameworks most relevant to adaptation. Similarly, the presentation of this information could be enhanced by using visual tools, rather than a narrative description.

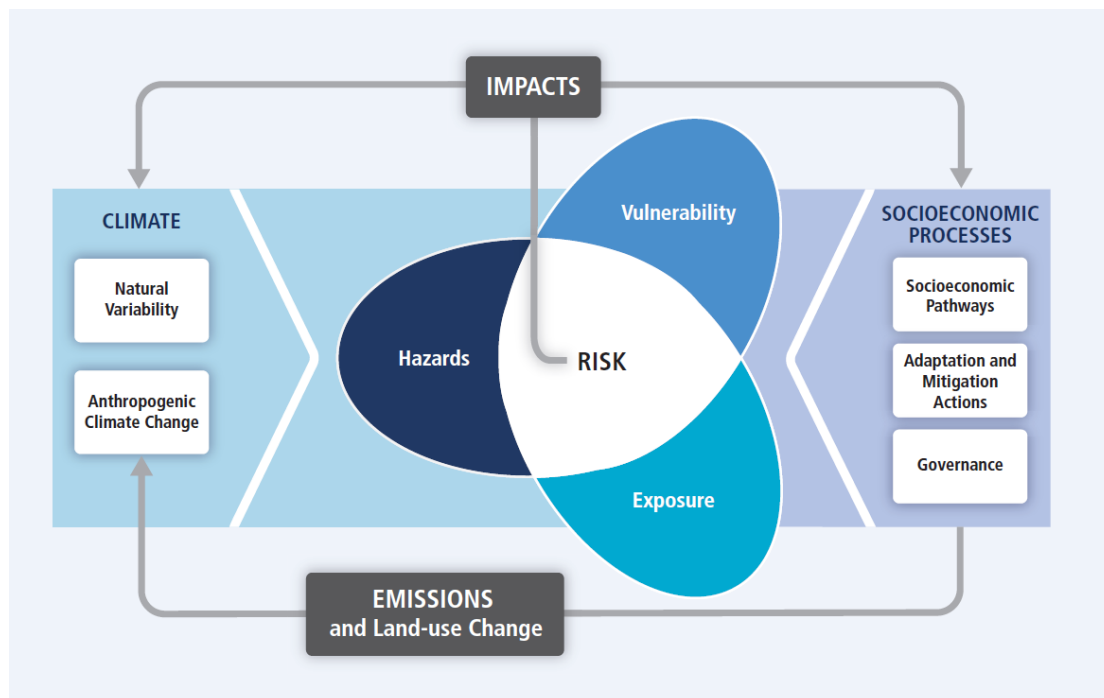
3.3. Impacts, risks and vulnerabilities

47. Similar to element (a), this element contains three types of information. The IPCC defines these three central concepts as follows (see Adger et al. 2014, 5):

- a) “Impact” is understood as “effects on natural and human systems of extreme weather and climate events and of climate change. Impacts generally refer to effects on lives, livelihoods, health, ecosystems, economies, societies, cultures, services, and infrastructure due to the interaction of climate changes or hazardous climate events occurring within a specific time period and the vulnerability of an exposed society or system. Impacts are also referred to as consequences and outcomes. The impacts of climate change on geophysical systems, including floods, droughts, and sea level rise, are a subset of impacts called physical impacts.”
- b) “Risk” is defined as “[t]he potential for consequences where something of value is at stake and where the outcome is uncertain, recognizing the diversity of values. Risk is often represented as probability of occurrence of hazardous events or trends multiplied by the impacts if these events or trends occur. Risk results from the interaction of vulnerability, exposure, and hazard [...]”
- c) Vulnerability is “[t]he propensity or predisposition to be adversely affected. Vulnerability encompasses [i.a.] sensitivity or susceptibility to harm and lack of capacity to cope and adapt.”

48. Simply put, risk is the result of impacts and vulnerabilities. The three concepts are closely interrelated. Figure X below presents the IPCC’s characterization of the interrelations between these three concepts.

Figure 3. IPCC illustration of the concepts of risk, impacts and vulnerability and their interrelations (from Adger et al. 2014, 3)



3.3.1. Provision of information on this element under other UNFCCC arrangements

49. Information related to this element is a common feature of various UNFCCC guidelines, as illustrated in table 6 below.

Table 6. Provision of information related to impacts, risks and vulnerabilities under various UNFCCC guidelines (see annex for detailed information)

ADCOM (para (b), annex, 9/CMA.1)	Annex I NCs (6/CP.25)	Non-annex I NCs (17/CP.8)	NAPs (5/CP.17, 3/CP.20, 8/CP.24 + LEG guidelines)	BTRs (18/CMA.1)
(b) Impacts, risks and vulnerabilities, as appropriate	- Expected impacts; methods and guidance used for assessment (46) - Possible structure: 1. Modelling, projects and scenarios 2. Assessment of risks and vulnerability (47 (a-b))	- Information on vulnerability (29) - Scope of vulnerability assessment, including most critical vulnerable areas (32) - Approaches, methodologies, tools, scenarios and uncertainties in the assessment (33) - Key vulnerable areas (34)	[TBD]	- Current and projected climate trends and hazards - Observed and potential impacts - Approaches, methods, tools, uncertainties and challenges (107 (a-c))

3.3.2. Resources that can facilitate preparing information on this element

3.3.2.1. IPCC Technical Guidelines for Assessing Climate Change Impacts and Adaptations

50. These IPCC guidelines (Carter et al. 1994)¹⁹ are focused on the steps to assess impacts and adaptation. This includes the communication of results (see pages 43-44), for which the guidelines suggest that:

- a) An impact assessment requires good communication between researchers, policymakers and other stakeholders (including private sector and general public); thus, communication of information on vulnerabilities should be prepared with potential audiences in mind;
- b) Methodologies, assumptions and results of studies should be transparent, in particular, methods, assumptions and uncertainties should be fully identified and substantiated shown in full; the sources of climate models should be cited; and results should be accessible to other researchers.

3.3.2.2. LEG Technical guidelines for the national adaptation plan process

[TBD]

3.3.2.3. UNFCCC User Manual for the Guidelines on National Communications from Non-Annex I Parties

51. The Manual suggests that information on this element can highlight e.g.:

- a) Importance of understanding vulnerability and impacts of climate change;
- b) Climate-related disaster effects and response capabilities;
- c) Climatic, environmental and socio-economic conditions relevant to understanding impacts, vulnerability and adaptation; including strengths, weaknesses, baseline conditions, and links between climate, environment and socio-economic conditions (e.g. population, resource availability and demand, forest coverage, arable land, dependence on food imports or external markets, tourist development, agriculture, and/or traditional crops);
- d) Vulnerabilities of e.g. human systems, sectors and areas to current and future climate change;
- e) Limitations of the assessment (e.g. methodological, technical, institutional and financial);
- f) Approach, methods and guidelines used (including for prioritization, organization of assessment, stakeholder engagement, use of regional and integrated climate models, methods to downscale GCMs, and possible follow-up actions).

52. The Manual also suggests that a matrix to summarize information on vulnerabilities, and impacts.

¹⁹ <https://www.ipcc.ch/site/assets/uploads/2018/03/ipcc-technical-guidelines-1994n-1.pdf>

3.3.3. Linkages and observations

53. This section suggests that information on impacts, risks and vulnerabilities are a long-standing component of existing reporting under the UNFCCC, and that a wide range of scientific methodologies and conceptualizations exist for preparing the information on this element.

54. Information on this element is in part related to element (a), given that national circumstances are one key determinant of vulnerabilities. Thus, the information relevant to element (a) can inform the processes for the preparation of this element. While information on element (a) is likely to be available based on non-climate-specific governance arrangements (e.g. national statistics, demographic and economic governance, and legislative records), this element involves a specific process of vulnerability assessment for which methodologies are available.

55. Given the central role of vulnerability assessments for adaptation, such assessments are likely to have been prepared as part of the preparation of national communications, NAPs, NAPAs, or other measures. Those can provide the basis for preparing this information for the ADCOM.

3.4. National adaptation priorities, strategies, policies, plans, goals and actions

56. As with the preceding two elements, this element contains multiple subcomponents:

- a) National adaptation priorities can be understood as adaptation-related measures, actions, or targets that are important and/or urgent, prioritized e.g. based on a vulnerability analysis;
- b) Strategies can be understood as articulations of the general direction for adaptation in the medium- or long-term. These can involve long-term visions, objectives, targets, guiding principles, and timelines. Adaptation strategies and other aspects of adaptation efforts can complement one another; for example, an action plan may elucidate how a strategy will be executed, or an implementation strategy can accompany an adaptation plan;
- c) Policies may be understood as a national course of action on adaptation, involving statements, documents or decisions that guide efforts to facilitate adaptation;
- d) In the UNFCCC context, plans involve in particular the process to formulate and implement NAPs, which is intended as a means of identifying medium- and long-term adaptation needs and developing and implementing strategies and programmes to address those needs, based on UNFCCC guidelines;
- e) Goals are the aims or purposes of adaptation action. Goals may be elucidated in NAPs, strategies, or policies; they may be closely related to priorities, strategies, policies or plans; and they may be expressed in quantitative or qualitative terms and at different levels;
- f) Actions can be understood as those steps or measures taken to facilitate climate change adaptation, and often refer to specific adaptation projects. These may be taken in line with relevant national priorities, strategies, policies, plans, or goals.

57. These subcomponents do not have universal definitions and are used in a different and/or interchangeable or overlapping ways by Parties. For example, some terms, such as “plan” and “strategy” may be used interchangeably, or different Parties may define different relationships between the two terms. The above descriptions are therefore only general indications of what may be understood by these terms in the context of adaptation, acknowledging that these will not encompass all possible or preferred uses.

3.4.1. Provision of information on this element under other UNFCCC arrangements

58. Information related to this element appears in all adaptation-related UNFCCC reporting guidelines, as indicated in table 7 below.

Table 7. Provision of information related to national adaptation priorities, strategies, policies, plans, goals and actions under various UNFCCC guidelines (see annex for detailed information)

ADCOM (para (c), annex, 9/CMA.1)	Annex I NCs (6/CP.25)	Non-annex I NCs (17/CP.8)	NAPs (5/CP.17, 3/CP.20, 8/CP.24 + LEG guidelines)	BTRs (18/CMA.1)
(c) National adaptation priorities, strategies, policies, plans, goals and actions;	- Plans for coastal management, water resources and agriculture (46) - Possible structure: Policies and strategies (e.g. to illustrate medium- and long-term approaches to addressing risks and vulnerability through domestic development and sectoral planning (47 (d)))	- Programmes with measures to facilitate adaptation (26) - Policy frameworks, such as adaptation programmes, plans and policies for developing and implementing adaptation strategies and measures (36) - Opportunities for implementation (e.g. pilot projects (53))	[TBD]	- Adaptation goals, actions, objectives, undertakings, efforts, plans, NAPs, subnational plans, strategies, policies, priorities, resilience building (109 (b)) - Efforts to integrate climate into development plans, policies and programs, capacity-building (109 (f)) - Nature-based solutions (109 (g)) - Stakeholder involvement (109 (h))

3.4.2. Resources that can facilitate preparing information on this element

3.4.2.1. LEG Technical guidelines for the national adaptation plan process

59. Element D (reporting, monitoring and review) of the LEG NAP technical guidelines, which focuses on outreach on the NAP process and reporting on progress and effectiveness, is particularly relevant in context of this element, since it identifies possible components of a report on the NAP to the COP. Such components relevant for this element include information on steps taken, in particular:

- a) Description of steps taken or envisaged under the NAP;
- b) Approaches, methodologies and tools used, as well as related uncertainties or challenges;
- c) Strategies and measures undertaken under the NAP process, especially high-priority ones;
- d) The use of other policy frameworks, projects and/or programmes for developing and implementing adaptation strategies and measures, and how these interact with the NAP.

3.4.2.2. UNFCCC User Manual for the Guidelines on National Communications from Non-Annex I Parties

60. The UNFCCC User Manual also contains guidance that can facilitate reporting on this element. It notes that sections on measures to facilitate adaptation should include a description of adaptation activities, measures, and programmes being undertaken or planned, including at a regional level. It notes that this information should be regularly updated as additional financial and technical resources and data become available.

61. On adaptation strategies and measures, the User Manual highlights that Parties may include information on possibilities for responding to identified impacts. Parties may also find it useful to include information on ongoing adaptation activities, while recognizing that adaptation encompasses not only responses to specific effects (e.g. sea walls as a response to sea level rise) but can also include general development policies (e.g. population planning, economic development planning, land-use change, etc.). An indicative list of content includes: specific adaptations to identified effects, and an evaluation/prioritization of their costs, predictability, environmental and cultural appropriateness.

62. Moreover, on the evaluation of adaptation strategies and measures, the User Manual acknowledges the number of methodologies and approaches available, and states that evaluation and prioritization of strategies and measures are subject to social, economic and political feasibility and/or cultural acceptance. Related information can be presented in a table with accompanying text. Information should be provided on methodologies used for such evaluation.

63. Related to frameworks for adaptation, the User Manual recognizes that existing frameworks can facilitate identifying adaptation options, strategies, and measures, as well as providing information to national adaptation processes, including designing strategies or projects, and mainstreaming adaptation into sustainable development efforts. Information reported may include, i.a., priority needs and concerns, including those considered most urgent, opportunities for adaptation, including policies and plans.

3.4.3. Linkages and observations

64. Table x above, as well as the framing of step D.4 of the NAP technical guidelines and the guidance in the UNFCCC User Manual, suggest that Parties may have already collected and/or reported on information related to national adaptation priorities, strategies, policies, plans, goals and actions as part of their NCs or in the course of reporting on their NAP process to the COP. Parties may therefore have the opportunity to build on this information and/or make use of the information collection and preparation processes used to collect it. Moreover, the NAP technical guidelines suggest steps to monitor and review the NAP process; Parties that have already established a related mechanism for monitoring and review as part of the NAP process, or as part of related adaptation plans, strategies, or policies, may be able to obtain information related to priorities, strategies, policies, plans, goals, or actions through this existing mechanism.

3.5. Implementation and support needs of, and provision of support to, developing country Parties

65. Implementation needs may be understood as the competencies, skills or services at the national, subnational and sectoral level that countries expect to require for the implementation of adaptation plans, policies, strategies, and actions. Support needs may also encompass financial, technology, and capacity-building support required for countries to formulate and implement their adaptation efforts and to attain these required competencies, skills or services. Provision of support to developing country Parties refers to the act of contributing such support via a range of channels and delivery mechanisms.

3.5.1. Provision of information on this element under other UNFCCC arrangements

66. As with the previous elements, information related to this element appears in various UNFCCC guidelines for communication and reporting. See table 8 below.

Table 8. Provision of information related to implementation and support needs of, and provision of support to, developing country Parties under various UNFCCC guidelines (see annex for detailed information)

ADCOM (para (d), annex, 9/CMA.1)	Annex I NCs (6/CP.25)	Non-annex I NCs (17/CP.8)	NAPs (5/CP.17, 3/CP.20, 8/CP.24 + LEG guidelines)	BTRs (18/CMA.1)
Implementation and support needs of, and provision of support to, developing country Parties	<ul style="list-style-type: none"> - Provision of support to non-Annex I Parties, and how this is new and additional (48-50) - Efforts to ensure resources provided address needs of non-Annex I Parties (51) - Financial support to non-Annex I Parties (52, tables 6,7,8) - Assistance provided to vulnerable developing country Parties to meet costs of adaptation (54 & table 6) - Measures taken to enhance use of climate-friendly technologies, and endogenous capacities and technologies (57, table 9) - Technology transfer since last NC or BR (58, table 10) - How it provided capacity-building that responds to needs identified by non-Annex I Parties (59 & table 11) 	<ul style="list-style-type: none"> - How support from Annex II Parties meets needs and concerns relating to vulnerability and adaptation (53) 	<ul style="list-style-type: none"> - Information through NCs on support provided or received for NAPs (5/CP.17, 32) - Invitation to international organizations to provide information on activities to support NAPs (5/CP.17, 35) - Information on support provided and received via the online questionnaire on NAP Central or other means (8/CP.24, 23). 	[?]

3.5.2. Resources that can facilitate preparing information on this element

3.5.2.1. NAP technical guidelines

67. [Step][Element] A (lay the groundwork and address gaps) of the NAP technical guidelines (see part I, section 2.3.1 above) includes steps for assessing gaps and needs related to the NAP process, such as:

- a) [Identifying available information on impacts, vulnerability and adaptation;]
- b) Assessing gaps and needs of the enabling environment for the NAP process (stocktaking);
- c) Addressing capacity gaps and weaknesses in the NAP process;
- d) Comprehensively and iteratively assessing development needs and climate vulnerabilities.

68. The guidelines also enumerate questions that countries may wish to answer in each step. They note that one of the main outputs of this [step][element] may include the results of a gap and needs analysis and recommendations on how to address such gaps and needs, as well as a programme to communicate and build capacity for the formulation and implementation of the NAP.

69. While this guidance is not focused on reporting or communicating this information per se, the steps and corresponding key questions outlined in the document can help orient developing country Parties as they seek to identify their implementation and support needs. Moreover, countries that have undertaken or are undertaking these steps may be able to use the information collected to communicate information related to this element in their ADCOM.

3.5.2.2. UNFCCC User Manual for the Guidelines on National Communications from Non-Annex I Parties

70. The UNFCCC User Manual acknowledges that information on needs and gaps may appear in various sections of a national communication, but nonetheless suggests elaborating this information in a section on “Constraints and gaps, and related financial technical and capacity needs.” Specifically, the User Manual highlights that such a section could include the following information that may be relevant for adaptation:

- a) Difficulties, constraints and gaps relating to financial, technical and capacity needs, including those associated with preparing and improving national communications;
- b) Financial and technical resources for activities relating to climate change and the preparation of national communications, which may include descriptions of contributions from i.a. the party itself, the GEF and its implementing agencies, Annex II Parties (though bilateral or multilateral programmes);
- c) Implemented or planned adaptation projects, with information on e.g. specific implementation barriers, opportunities for adaptation, and identification of support programmes that provide financial and technical resources, and how such programmes are meeting specific needs;
- d) Needs, constraints and gaps of activities relating to technology transfer, such as technology needs assessments (TNAs), level of financial support from Annex II Parties and the GEF and development and enhancement capacities and technologies;
- e) Specific details on capacity-building needs for the implementation of the Convention and the achievement of its objectives.

3.5.2.3. Technology Needs Assessment Step by Step Guidebook

71. This guidebook, published by the UNEP DTU Partnership, summarizes the steps in implementing a TNA and outlines other guidance materials that can further support the TNA process, such as guidebooks and templates.²⁰ The guidebook notes that the three outputs of the TNA – 1. the report; 2. the barrier analysis and enabling framework report; 3. the technology action plan (TAP) report – entail analyses and reporting relating to technology-related implementation and support needs of developing country Parties. First, the TNA report captures information on the technology prioritization process and its results,

²⁰ Available at <https://tech-action.unepdtu.org/wp-content/uploads/sites/2/2019/04/2019-02-tna-step-by-step-guide.pdf>

including a detailed description of how this prioritization has been conducted for sectors and subsectors in need of adaptation (and mitigation) technologies. Second, the barrier analysis and enabling framework report reflects information on the market conditions and entry barriers for each technology, including the nature of the barriers and their interrelations, as well as measures that can help overcome these barriers and create an enabling framework for climate technologies.

72. Finally, the TAP report should contain i.a. the following types of information:

- a) Scale and context for the deployment and diffusion of technology;
- b) Barriers to deployment and diffusion of each technology and measures to address them. The measures should be turned into a list of actions and sets of activities to complete each action in collaboration with stakeholders;
- c) A description of capacity needs and an estimate of human and financial resources required for each activity, as well as the required type of financing and potential sources of funding.

3.5.2.4. CGE Technical handbook for developing country Parties on preparing for implementation of the enhanced transparency framework under the Paris Agreement

73. This technical handbook²¹, published in 2020, focuses on bolstering understanding of the enhanced transparency framework and its modalities, procedures, and guidelines (MPGs) among experts and practitioners from developing country Parties. It provides guidance related to reporting information related to support needs, as well as support provided, mobilized and received.

74. On support provided and mobilized, the handbook explains that while developed country Parties shall provide related information in accordance with the MPGs, other Parties that provide support should also provide this information and are encouraged to do so. Some of the information should be in a tabular format - common tabular formats related to this are under development and expected to be completed by COP26. Information related to support provided and mobilized includes five categories:

- a) National circumstances and institutions (with information e.g. on approaches used to identify, track and report on public financial support provided and mobilized; challenges and limitations; experience and good practices on policies and regulations to incentivize private sector finance/investment; and efforts to enhance comparability of information on public financial support (e.g. standards, institutions, cooperation));
- b) Assumptions, definitions and methodologies, including efforts taken to avoid double counting;
- c) Financial support provided and mobilized under Article 9, through bilateral, regional and multilateral channels, as well as public interventions;
- d) Support for technology development and transfer under Article 10, including:
 - i) Information in a textual format on e.g. strategies employed, case studies, support to different stages of the technology cycle, support for endogenous capacities and technologies, efforts to encourage private sector involvement, private sector contributions to support developing countries, efforts to enhance innovation, collaborative research and development, and generated knowledge;
 - ii) Quantitative and/or qualitative information in a common tabular format including the title, recipient entity, description, objectives, type of support (e.g. adaptation or cross-cutting), sector, type of technology, status of activity, and whether the activity was private or public.
- e) Information on support for capacity-building under Article 11, including:
 - i) Information in a textual format on e.g. strategies employed, case studies; how capacity-building provided responds to needs, priorities and gaps identified by developing countries;

²¹ Available at

<https://unfccc.int/sites/default/files/resource/ETF%20Technical%20Handbook%20First%20Edition%20June%202020.pdf>

- policies; stakeholder involvement; and how provided capacity-building promotes sharing of lessons and best practices;
- ii) Quantitative and/or qualitative information in a common tabular format, including the title, recipient entity, description and objectives, type of support (e.g. adaptation or cross-cutting), and the status of the activity.
75. The handbook also provides guidance in relation to reporting on financial, technology development and transfer, and capacity-building support needed and received. This can be divided into six categories:
- a) National circumstances and institutions (with information e.g. on approaches to identify, track and report on support needed and received; challenge and limitations; national priorities and strategies, and aspects of the NDC in need of support);
- b) Assumptions, definitions and methodologies related to tracking support received, processes to identify needs, and premises underlying these efforts;
- c) Information on financial support needed and received by developing country Parties under Article 9, including:
- i) Information in a textual format on e.g. sectors for which the Party seeks international financial support, and how the support contributes to their NDC and the Paris Agreement's long-term goals;
- ii) Information in a common tabular format on e.g. financial support needed (title and description of the activity, programme, or project; estimated amount; expected time frame; expected financial instrument; type of support; sector and subsector; whether the activity contributes to technology development and transfer and/or capacity-building; whether the activity is anchored in an NDC and/or national strategy; expected use, impact and estimated results) and support received (title and description of the activity, programme or project; channel; recipient entity; implementing entity; amount received; time frame; financial instrument; status; sector or subsector; type of support; whether the activity contributed to technology development and transfer and/or capacity-building; status of activity; and use, impact and estimated results);
- d) Information on support needed and received for technology development and transfer under Article 10, including:
- i) On support needed:
- a. Information in a textual format on e.g. plans, needs and priorities, including those identified in TNAs; needs for the enhancement of endogenous capacities and technologies;
- b. Information in a common tabular format, e.g. the title and a description of the activity, programme or project; type of support, type of technology, time frame, sector, and expected use, impact and estimated results.
- ii) On support received:
- a. Information in a textual format, including case studies, successes and failures; how the support contributes to technology development and transfer, endogenous capacities and know-how; the stage of technology cycle supported;
- b. Information in a common tabular format, such as the title and a description of activity, programme or project; the type of technology, time frame, recipient entity, implementing entity, type of support sector, status of activity, and use, impact and estimated results.
- e) Information on support needed and received for capacity-building under Article 11, including:
- i) On support needed:
- a. In textual format: the approach a Party seeks to take to enhance capacity-building support; national needs, constraints and gaps in communicating those needs; how the support

- would improve the provision of such information; processes for enhancing public awareness, and participation and access to information;
- b. In a common tabular format: title and a description of the activity, programme or project, type of support, expected time frame and use, impact and estimated results.
- ii) On support received:
 - a. In a textual format: case studies, successes and failures; how support has enhanced a Party's capacity; support received at national, subregional and regional levels; priorities, participation and stakeholder involvement;
 - b. In a common tabular format: title and a description of the activity, programme or project, implementing and recipient entities, type of support, expected time frame, status of activity, and expected use, impact and estimated results.
- f) Information on support needed and received related to Article 13 of the Paris Agreement and transparency activities, including capacity-building:
 - i) In a textual format: support needed and received, including for reports pursuant to Article 13 and for improvements identified by technical expert review teams;
 - ii) In a common tabular format: title, objectives and description of the activity, programme or project; recipient entity, channel, amount, time frame, status of activity, and use, impact and expected results.

3.5.2.5. Inventory of Methodologies for Assessing Adaptation Needs in the Context of National Adaptation Planning and Implementation

76. The AC, in collaboration with the LEG and Nairobi work programme (NWP) partners, and users and developers of relevant methodologies, launched a pilot inventory of methodologies currently used to assess adaptation needs and how these needs can be addressed. The inventory, which features tools, case studies and other resources submitted by Parties and users of these methodologies, provides an information hub to help users navigate tools available for assessing adaptation needs in various contexts. As at April 2021, it contained 41 case studies and 86 tools. Users can filter by region, scale, adaptation sector/theme, adaptation element, climate hazard, and target group. In the inventory Parties may find methodologies for assessing adaptation needs that are suitable for their circumstances and which may, in turn, be used as the basis for communicating information on this element in an ADCOM.

3.5.3. Linkages and observations

77. The preceding section suggests that many Parties will already have collected, communicated, and/or reported on information related to implementation and support needs, and the provision of support, to developing country Parties in other UNFCCC processes and documents, such as the NAP process, the TNA process, and the NCs. As with the other elements where this is the case, Parties may wish to use this existing information to inform the preparation of the ADCOM in order to avoid duplicating work and placing any additional burdens associated with communications and reporting processes. Additionally, this section also suggests that the information that will be reported under the Paris Agreement's enhanced transparency guidelines will also include information relevant to this element, providing Parties further opportunities to take advantage of additional synergies in the reporting and communication landscape in the future.

3.6. Implementation of adaptation actions and plans, including:

ADCOM (para (e), annex, 9/CMA.1)	Annex I NCS (6/CP.25)	Non-annex I NCS (17/CP.8)	NAPs (5/CP.17, 3/CP.20, 8/CP.24 + LEG guidelines)	BTRs (18/CMA.1)
(e) Implementation of adaptation actions and plans, including: (i) Progress and results; (ii) Efforts of developing countries for recognition; (iii) Cooperation on enhancing adaptation at national, regional and international level; (iv) Barriers, challenges and gaps related to the implementation; (v) Good practices, lessons learned, information-sharing; (vi) Monitoring and evaluation;	(e) Monitoring and evaluation framework; approaches to monitoring and evaluation of implemented adaptation (47 (e)); (f) Progress and outcomes: for example, adaptation measures taken to address risks and vulnerabilities, status of implementation, progress, outcomes and effectiveness of implemented measures (47 (f))	- Steps taken or envisaged towards formulating, implementing, publishing, updating national and regional programmes with measures to facilitate adaptation, and any other information they consider relevant (28) - Information on steps taken to integrate climate considerations into policies and actions (41) - Information on capacity-building activities for integrating adaptation planning (47). - Barriers to implementation of adaptation.	- Measures undertaken relevant to NAP (5/CP.17, 32); - Progress made and effectiveness of NAP (5/CP.17, Annex, 6 (b)) - LDCs and other developing countries: outputs, including NAP documents, to NAP Central (3/CP.20, 9). - Progress towards objectives of NAPs and experience, best practices, lessons learned, gaps and needs via online questionnaire on NAP Central or other means (8/CP.24, 23).	- Challenges, gaps and barriers (108 (b)); - Progress on implementation (110 (a)); - Programmes, strategies, measures, policy frameworks (e.g. NAPs) (110 (b)); - Implementation of actions in ADCOMs / towards adaptation needs (110 (c)); - (d) Implementation adaptation identified in NDCs (110 (c)); - Coordination, regulations, policies and planning (110 (e)) - Developing countries: implementation of supported actions, and effectiveness of implemented measures (111). - Systems to monitor and evaluate implementation of adaptation (112). - Monitoring and evaluation (e.g. achievements, impact, resilience, review, effectiveness, results, approaches, outputs, indicators (e.g. for resilience, reduced impacts, insufficient adaptation, and effectiveness); - Implementation (e.g. how support meets needs, how adaptation influences development, good practices, lessons). - Effectiveness and sustainability (e.g. ownership, stakeholder engagement, alignment with other policies, replicability, results) (114). - Cooperation, good practices, experience and lessons learned (e.g. on information sharing, good practices, experience and lessons (including on science, planning, policies, projects, integration of adaptation, institutions, durability and effectiveness, identification of needs and priorities, challenges and gaps (116 (a))). - Strengthening scientific research and knowledge (including RSO, early warning, vulnerability, adaptation, and monitoring and evaluation) (116 (b)).

3.6.1. Progress and results achieved

78. Progress on adaptation may be understood to describe how adaptation has been advanced beyond a given baseline and/or towards a given objective or priority. Results achieved, by contrast, may refer to specific outputs or outcomes of adaptation measures.

3.6.2. Adaptation efforts of developing countries for recognition

79. Article 7.3 of the Paris Agreement stipulates that the adaptation efforts of developing country Parties shall be recognized, and Article 7.14 (a) identifies this as one of the adaptation-related functions of the global stocktake. Decision 11/CMA.1 elaborates possible modalities for such recognition. This includes a biennial synthesis report in the context of the recognition of efforts, prepared by the secretariat under the guidance of the AC and the LEG and in collaboration with stakeholders, that considers specific adaptation themes, as well as lessons learned and good practices in developing country Parties. The first of these reports, prepared by the AC and published in 2020, provides a basic grounding of what adaptation entails,

based on various IPCC reports.²² It conceptualizes adaptation as aiming to address the implications of potential changes in the frequency, intensity, and duration of weather and climate events that affect the risk of extreme impacts on human society, wherein risk is determined not only by climate and weather events (hazards) but also by the exposure and vulnerability. The synthesis further highlights that adaptation responses are underpinned by common enabling factors, such as effective institutions and governance, innovation and investments in environmentally sound technologies and infrastructure, and sustainable livelihoods; it therefore looks at efforts to establish an enabling environment for adaptation in addition to efforts to reduce exposure and vulnerability and strengthen resilience and adaptive capacity.

3.6.3. Cooperation on enhancing adaptation at the national, regional and international level

80. Cooperation on enhancing adaptation at the national, regional and international level may refer to a variety of arrangements and initiatives—such as research collaboration, technology transfer, knowledge sharing, financing, capacity-building development cooperation initiatives—between different types of actors—such as government agencies at different levels of governance, United Nations and other intergovernmental organizations, multilateral development banks, research institutions, and more.

3.6.4. Barriers, challenges and gaps related to the implementation of adaptation

81. Adaptation barriers may refer to one of two overarching categories, namely, barriers to adaptation planning and barriers to the implementation of adaptation activities.²³ The former refer to any institutional, material, cultural or policy constraints that are likely to interfere with the development of a NAP or other planning instrument, while the latter refer to any obstacles that may delay, divert, or temporarily block the adaptation process. Challenges, meanwhile, can be understood as difficulties that arise in the adaptation process that require significant efforts and resources to overcome. According to the UNEP Adaptation Gap Report, an adaptation gap can be defined in generic terms as the difference between actually implemented adaptation and a societally set goal, determined largely by preferences related to tolerated climate change impacts, and reflecting resource limitations and competing priorities.²⁴ The report further highlights more specific gaps in key areas, including adaptation funding gaps, adaptation technology gaps, and adaptation knowledge gaps.

3.6.5. Good practices, lessons learned and information-sharing²⁵

82. Good practices can be understood as those actions undertaken by Parties and non-Parties which have demonstrated success in relation to climate change adaptation and which have the potential to be replicated elsewhere. Lessons learned may refer to the insights and experiences gleaned from past adaptation activities that should be taken account when pursuing future activities; this may include, for example, information about what has worked well or has not worked well when designing or implementing adaptation measures. Information-sharing may describe the process of exchanging adaptation-related knowledge and/or data between actors and organizations or making such data or information publicly available.

3.6.6. Monitoring and evaluation

83. Monitoring and evaluation consists of two complementary processes. Monitoring refers to an ongoing process of tracking and reviewing activities, their results and the surrounding context by collecting data on previously defined indicators.²⁶ The purpose of monitoring is to be able to intervene in processes as it

²² Available at https://unfccc.int/sites/default/files/resource/ac_synthesis_report_hazards.pdf

²³

https://unfccc.int/files/adaptation/cancun_adaptation_framework/application/pdf/naptechguidelines_eng_high_res.pdf; Moser, SC and Ekstrom, JA. 2010. A framework to diagnose barriers to climate change adaptation. PNAS 107 (51): pp. 22026–22031.

²⁴ Available at https://wedocs.unep.org/bitstream/handle/20.500.11822/9331/-Adaptation_gap_report_a_prel.pdf?sequence=2&isAllowed=y

²⁵ An AC member suggested reflecting on good practices, challenges, and lessons learned under other elements so that they are communicated not only in the context of “Implementation of adaptation actions and plans”.

²⁶

https://unfccc.int/files/adaptation/cancun_adaptation_framework/application/pdf/naptechguidelines_eng_high_res.pdf

becomes obvious that they deviate from their original objective, target or standard, or that gaps remain which need to be addressed. Monitoring also includes the documentation of experiences and capturing of lessons learned, with a view to identifying best practices and to improve how activities are carried out. The purpose of evaluation is to identify to which degree the objective or target of an intervention has been reached and why, and whether it could have been done better or more efficiently by using an alternative measure.

3.6.6.1. Resources that can facilitate preparing information on this element

84. There is currently no available resource that comprehensively addresses information preparation, reporting, and/or communication for all the sub-elements of this element. Moreover, some sub-elements also do not currently have available resource materials that address them individually in terms of reporting and communication; this is the case for example with the adaptation efforts of developing countries for recognition. In these cases, however, many countries have already reported relevant information in their reports and communications to the UNFCCC, as evidenced by the first synthesis report produced in the context of the recognition of adaptation efforts of developing country Parties, the initial version of the NDC synthesis report, and, the reports and communications themselves. This section therefore highlights a few resources that may help facilitate preparing information in relation to one or more of the sub-elements, acknowledging that the absence of related resources for other sub-elements should not prevent Parties from communicating related information.

85. A report published by the UNEP DTU Partnership and the Initiative for Climate Action Transparency (ICAT) in 2020, titled *Reporting Adaptation Through the Biennial Transparency Report: A practical explanation of the guidance*, offers some suggestions on how Parties can communicate information relevant to various sub-elements in their BTRs.²⁷ While the suggestions are thus tailored to the BTR, they may nonetheless be useful for the purposes of putting together an ADCOM regardless of the vehicle document chosen. Related to progress on adaptation, the report highlights that this may encompass the use of indicators that make clear that implementation status of a given action. For reporting on progress or implementation in relation to a NAP or other strategies, programmes, measures, or frameworks, it suggests providing a description of the entire process of formulating, executing and updating the relevant action. On the topic of results achieved, the report notes that this information will indicate the outcomes and impacts achieved by individual adaptation actions or by the national adaptation process as a whole. These results should be generated by the monitoring and evaluation processes in place; depending on the design and capacity of the monitoring and evaluation system, the results may be presented as quantitative indicators complemented by qualitative descriptions and data, or purely qualitative descriptions where quantitative data is not available. The report acknowledges, however, that not all Parties currently have national monitoring and evaluation systems for adaptation, in which case information from ad hoc processes (such as donor supported projects and programmes) or sub-national systems may be used.

86. This therefore directly relates to the final sub-element on monitoring and evaluation. The report further addresses how countries can provide information on the monitoring and evaluation system itself, noting that Parties may provide information on two levels, namely, a general overview of their national monitoring and evaluation systems (e.g. the system's overall capacities, capabilities and characteristics) as well as technical information on how specific adaptation outcomes and impacts (e.g. increases in adaptive capacity and resilience, and decreases in vulnerability) are measured and assessed. To provide a well-rounded description, it suggests that Parties can provide answers to key questions addressing the objective of the system; how it is structured and how it operates, including which institutions are involved and whether it is integrated with other monitoring and evaluation systems; what exactly it monitors and evaluates; the required inputs in terms of financial and human resources; and its outputs.

87. In relation to the sub-elements of cooperation on adaptation and good practices, lessons learned, and information sharing—which are addressed together in the MPGs of the enhanced transparency framework—the report highlights that countries can report on the actions they are planning, undertaking, or have undertaken that involve collaborating with, and/or sharing information, good practice, experience, and lessons learned with, external parties. Potentially relevant information to provide includes

²⁷ Available at

https://backend.orbit.dtu.dk/ws/files/221266016/Reporting_adaptation_through_the_biennial_transparency_report_a_n_explanation_of_the_guidance_ICAT_UNEP_DTU_PARTNERSHIP.pdf

participation in regional programmes and cross-border initiatives, and collaboration with non-state entities such as research institutions, private sector organizations, and intergovernmental agencies. It advises that authors should consider reporting on all forms of cooperation and/or knowledge-sharing that are relevant to adaptation. More specifically on good practices and lessons learned, it highlights that relevant information could be drawn from any stage of the adaptation process, such as the modelling of climate change and its impact, the planning process, establishing an enabling environment for adaptation, and implementing on-the-ground adaptation. Providing such information could facilitate the recognition of efforts for developing country Parties by drawing attention to particularly successful facets of their national adaptation process.

88. Finally, on barriers, challenges, and gaps, the report suggests that Parties describe any known barriers to adaptation that must be overcome to address vulnerability in their priority areas for adaptation and achieve associated goals and targets. This information may be drawn from systematic barrier analyses addressing barriers to planning and implementation. In addition to reporting on the barriers, Parties may wish to also provide information on how the process of identifying the barriers was conducted.

3.6.7. Linkages and observations

89. There are linkages both between the sub-elements of this element, as well as between these sub-elements and the other elements of the annex to decision 9/CMA.1. For example, information on the progress and results achieved, discussed in section 3.6.1 above, may be generated through the monitoring and evaluation systems or initiatives discussed in section 3.6.6 above. Similarly, information on barriers, challenges and gaps, discussed in section 3.6.4 above, and on good practices, lessons learned and information sharing, discussed in section 3.6.5 above, could relate to several other elements. Parties may therefore choose to structure the information in a variety of ways, emphasizing the linkages that are most relevant in their national context. This might include, for example, reporting on these cross-cutting aspects such as good practices and lessons learned throughout the ADCOM or making cross-references between the sections, as appropriate.

3.7. Adaptation actions and/or economic diversification plans, including those that result in mitigation co-benefits

ADCOM (para (f), annex, 9/CMA.1)	BTRs (18/CMA.1)
Adaptation actions and/or economic diversification plans, including those that result in mitigation co-benefits;	Each Party should provide information, as appropriate, on any adaptation actions and/or economic diversification plans leading to mitigation co-benefits (109 (e));

[TBD]

Box 1. Providing information on mitigation co-benefits of adaptation and/or economic diversification as part of an ADCOM:

An additional specific linkage exists between the ADCOM and the NDCs. This applies if a party wishes to communicate information on mitigation co-benefits of its adaptation or economic diversification efforts as part of its NDC, as stipulated by Article 4, paragraph 7, of the Paris Agreement. In this case, Parties should do the following: in their ADCOM, submitted as adaptation component of their NDC, they can include information on element (f) ("Adaptation actions and/or economic diversification plans, including those that result in mitigation co-benefits"). In addition, the submitting Party must provide, as part of the ICTU of its NDC, information on the mitigation co-benefits of the specific adaptation and/or economic diversification efforts as outlined in Annex I of decision 4/CMA.1¹

¹From an adaptation perspective, this can include information on the the co-benefits themselves; specific projects, measures and initiatives; the consideration of economic and social consequences of response measures; and adaptation plans that yield mitigation co-benefits (e.g. in key sectors such as energy, resources, water, coasts, settlements, urban planning, agriculture and forestry).

3.8. How adaptation actions contribute to other international frameworks and/or conventions

90. Adaptation actions that contribute to the objectives of the Convention and the Paris Agreement may simultaneously contribute to the objectives of related international frameworks and/or conventions. There are significant, adaptation-related links between the UNFCCC and, for example, the Sendai Framework for Disaster Risk Reduction 2015-2030, the 2030 Agenda for Sustainable Development and its Sustainable Development Goals (UNFCCC, 2017), as well as with the other two Rio Conventions, namely, the Convention on Biological Diversity and the Convention to Combat Desertification (CBD, UNCCD, and UNFCCC, 2012). These links may be due e.g. to common themes (e.g. resilience or ecosystems), scope (e.g. cross-sectoral or multi-scalar) and objectives (e.g. impacting people and communities).

91. Descriptions of how adaptation actions contribute to other international frameworks and/or conventions may therefore include, for example, information on efforts to pursue a coherent approach or foster policy integration among these related domains and/or more specific information about the ways in which specific actions contribute to the objectives of other frameworks.

3.8.1. Provision of information on this element under other UNFCCC arrangements

92. While information on this element does not appear explicitly in other UNFCCC guidelines for reporting and communication, some Parties have already communicated and reported related information under the UNFCCC. For example, according to the 2021 initial NDC synthesis report, Parties are increasingly describing how adaptation efforts are linked with efforts under related international frameworks.²⁸ The report described how the NDCs reflected synergies between i.a. the 2030 Agenda for Sustainable Development, the Sendai Framework for Disaster Risk Reduction 2015-2030, the Convention on Biological Diversity, the United Nations Convention to Combat Desertification, and the Convention on Wetlands of International Importance especially as Waterfowl Habitat.²⁹ Most Parties provided general descriptions of such synergies and connections, but several highlighted how specific adaptation actions contribute to specific Sustainable Development Goals.

93. Similarly, some Parties also present relevant information in their NAPs, explaining how the actions outlined in the NAP are expected to support the achievement and implementation of related international frameworks and processes. This once again includes information related to various frameworks—including on biodiversity, disaster risk reduction, desertification, and sustainable development—and ranges from general descriptions of potential synergies and efforts to align related processes to more specific connections between individual sections in the NAP and their expected contribution to specific objectives under other frameworks.

94. Related information also appears in some Parties' NCs. Some Parties include this information, for example, in sections of their NCs devoted to national circumstances or efforts to mainstream climate change in development planning and other national processes. As such, this information is often not specific to adaptation actions, although, in some cases, there are specific linkages drawn to individual adaptation actions.

3.8.2. Resources that can facilitate preparing information on this element

3.8.2.1. NAP technical guidelines

95. The NAP technical guidelines (see part I, section 2.3.1 above) include a step specific to promoting coordination and synergy at the regional level and with other multilateral environmental agreements. According to the guidelines, this builds on existing efforts to coordinate the design of action plans under the Rio Conventions. One of the corresponding indicative activities is to identify and promote opportunities for synergy with other multilateral environmental agreements in the formulation of respective plans, in capacity-building and during implementation. It elaborates that there are two primary approaches applied at the national level to promote such synergies, namely, setting up an inter-institutional body or coordination mechanism to convene government agencies and stakeholders and formally incorporating the responsibilities under the Rio Conventions in one department or unit within a ministry or agency. It further

²⁸ FCCC/PA/CMA/2021/2

²⁹ FCCC/PA/CMA/2021/Add.1

outlines three ideas that can enhance synergies among the Conventions at the national level: identifying and prioritizing activities under the Rio Conventions; taking the obligations under the Conventions into account in a harmonized manner when revising or passing new legislation; and making use of mechanisms under one of the Conventions to coordinate work among the three.

96. While this guidance is not specific to communicating or reporting how adaptation actions contribute to the other Rio Conventions, it can nonetheless shed light on what institutions may be able to provide related information and what activities undertaken in the past may have yielded relevant insights.

3.8.2.2. UNFCCC User Manual for the Guidelines on National Communications from Non-Annex I Parties

97. The UNFCCC User Manual explains that, in the national circumstances section of their NCs, Parties could include information on the linkages between the activities and policies relating to climate change and those of other Conventions, including the Convention on Biological Diversity and the United Nations Convention on Combating Desertification. Indeed, as stated in section 3.8.1 above, some Parties have already done so in relation to the Rio Conventions as well as other relevant frameworks.

3.8.2.3. Other resources

98. Given the few guidelines and resources that explicitly relate to communicating information related to this element, it may be worthwhile for Parties to also consult resources that provide background information on how adaptation actions contribute to other international frameworks and/or conventions. While these resources do not give specific suggestions regarding what information to include in particular reports or communications, or how to package that information, they may nonetheless shed light on what information may be pertinent and which entry points exist for collecting that information.

99. One related resource is the 2012 publication by the CBD, UNCCD, and UNFCCC secretariats detailing the roles of the Rio Conventions' processes in contributing to adaptation action.³⁰ It explains how each of the Rio Conventions addresses adaptation, related commitments by or invitations to Parties, key publications or decisions, and country case studies highlighting examples of integrated action. By outlining the ways in which each of the Rio Conventions sets the stage for action on adaptation, the publication may assist Parties in identifying how their adaptation actions contribute to these conventions and subsequently including this information in their ADCOM.

100. Another resource, published under the CBD process, presents an overview of how countries can foster linkages between national biodiversity strategies and action plans (NBSAPs) under the CBD process and NAPs under the UNFCCC process.³¹ It highlights linkages between biodiversity and climate change, makes the case for promoting and strengthening synergies between NBSAPs and NAPs, and the various ways and means through which the NBSAP and NAP processes can be better aligned. It may provide insights into how adaptation actions being undertaken through the NAP process can contribute to objectives and obligations under the CBD, which may, in turn, help generate material related to this element of the ADCOM.

101. In 2017, the UNFCCC secretariat published a technical paper on opportunities and options for integrating climate change adaptation with the Sustainable Development Goals and the Sendai Framework for Disaster Risk Reduction 2015-2030.³² The paper highlights linkages between the three frameworks, opportunities to foster integration, associated challenges, and relevant case studies demonstrating national and regional efforts to pursue integration. By detailing the relationships between the three frameworks and examples of how they might materialize in the national context, the paper may help countries analyse how their adaptation actions have contributed or will contribute to complementary goals or initiatives under Agenda 2030 and/or the Sendai Framework.

³⁰ Available at https://unfccc.int/resource/docs/publications/rio_20_adaptation_brochure.pdf

³¹ Available at <https://www4.unfccc.int/sites/NAPC/Documents/Supplements/CBD%20NAP%20biodiversity%202014.pdf>

³² Available at https://unfccc.int/files/adaptation/groups_committees/adaptation_committee/application/pdf/techpaper_adaptation.pdf

3.8.3. Linkages and observations

102. While there is a dearth of guidelines that provide detailed instructions on what and how to report and communicate information on how adaptation actions contribute to other international frameworks and/or conventions, it is clear that several Parties have nonetheless done so already in instruments such as their NAPs, NDCs, and NCs. When preparing their ADCOMs going forward, Parties may thus be able to build on this information and leverage the institutions and processes they used to generate the information in the past to generate updated or additional information. In addition, there are various resources that provide explanations of the linkages and synergies between adaptation action and objectives and actions under other international conventions and frameworks. Parties that have not yet communicated information related to this element in the past may find valuable guidance in these documents on how to approach generating this information for the first time.

3.9. Gender-responsive adaptation action and traditional knowledge, knowledge of indigenous peoples and local knowledge systems related to adaptation

103. Gender-responsive adaptation action may be understood as action that involves examining and actively addressing gender norms, roles and inequalities, going further than sensitivity to gender differences to promote gender equality (NAP Global Network and UNFCCC, 2019). In practice, this can entail actions to empower women in their households, communities, and in policy and planning processes.

104. According to the IPCC, indigenous knowledge means “the understandings, skills and philosophies developed by societies with long histories of interaction with their natural surroundings” and, in many cases, “informs decision-making about fundamental aspects of life, from day-to-day activities to longer term actions [and is] integral to cultural complexes, which also encompass language, systems of classification, resource use practices, social interactions, values, ritual and spirituality.” (IPCC, 2018).

105. Local knowledge, as per the IPCC (2018), “refers to the understandings and skills developed by individuals and populations, specific to the places where they live” and “informs decision-making about fundamental aspects of life, from day-to-day activities to longer-term actions.” Moreover, local knowledge “is a key element of the social and cultural systems which influence observations of, and responses to climate change” and “informs governance decisions.”

106. Closely related to both indigenous and local knowledge is traditional knowledge. Traditional knowledge can be defined as follows:

“[K]nowledge, innovations and practices of indigenous and local communities [...]. Developed from experience gained over the centuries and adapted to the local culture and environment, traditional knowledge is transmitted orally from generation to generation. It tends to be collectively owned and takes the form of stories, songs, folklore, proverbs, cultural values, beliefs, rituals, community laws, local language, and agricultural practices, including the development of plant species and animal breeds. [...]. Traditional knowledge is mainly of a practical nature, particularly in such fields as agriculture, fisheries, health, horticulture, forestry and environmental management in general.”³³

3.9.1. Provision of information on this element under other UNFCCC arrangements

107. Information on gender-responsiveness, and/or traditional, indigenous or local knowledge related to adaptation is not included explicitly in other UNFCCC guidelines for reporting and communication. Nonetheless, many Parties have chosen to communicate or report such information. For example, some Parties include gender considerations and -responsiveness in their NCs in relation to i.a. national circumstances, provision of support, vulnerability assessment, climate impacts, adaptation, research and systematic observation. Moreover, in their new and update NDCs, most Parties referred to gender, including information on policies and legislation, commitments to equality, considering gender in the formulation and implementation of NAPs, and how gender is mainstreamed in NDC implementation.³⁴ In their NDCs, some Parties mentioned the benefits of drawing on indigenous knowledge, particularly for adaptation, as well as the importance of combining traditional and modern practices.

³³ <https://www.cbd.int/traditional/intro.shtml>

³⁴ https://unfccc.int/sites/default/files/resource/cma2021_02E.pdf

108. In addition, the gender action plan of the enhanced Lima work programme on gender adopted at COP 25 (see annex to decision 3/CP.25), includes activities to enhance reporting and communication on gender. For example, activity A.1 seeks to strengthen capacity-building to mainstream gender when formulating, monitoring, implementing and reviewing plans, policies, strategies and actions, including NDCs, NAPs, and NCs.

3.9.2. Resources that can facilitate preparing information on this element

3.9.2.1. Toolkit for a Gender-Responsive Process to Formulate and Implement NAPs

109. Published in 2019 by the NAP Global Network, the AC, and the LEG, the *Toolkit for a Gender-Responsive Process to Formulate and Implement NAPs* aims to supplement the LEG's NAP Technical Guidelines.³⁵ It guides the integration of gender-responsive approaches throughout the stages of the NAP process, and identifies entry points in the NAP process for gender-responsive approaches.

110. One such entry point is compiling and communicating NAPs. Here, the Toolkit emphasizes the importance of applying a gender lens throughout the document and provides examples of how this may look in practice. These examples include:

- a) Incorporating specific sections summarizing gender analyses and describing how they have been applied in developing the plan;
- b) Providing information on the process to develop the plan, including the involvement of institutions and stakeholders and consideration of gender balance and inclusivity in decision making;
- c) Addressing gender issues in every section of the plan, rather than only in the guiding principles or introductory section; etc.

111. Another entry point in the NAP process is outreach and reporting, where examples of actions include: tracking and reporting on gender equity in institutions and stakeholder engagement processes, documenting adaptation decision-making processes, including who was involved and the criteria used; reporting gender-differentiated results from adaptation investments and progress on gender equality and women's empowerment through the NAP process; incorporating gender in NAP-related progress reports, NDC processes and reviews, NCs, ADCOMs; etc.

3.9.2.2. Gender responsive national communications toolkit

112. Developed by the United Nations Development Programme (UNDP), the *Gender responsive national communications toolkit* is designed to assist government staff in incorporating gender considerations and equality into the development of NCs.³⁶ The toolkit considers how gender dimension can be considered in i.a. stakeholder engagement, stocktaking of circumstances, promoting analysis of gender considerations, and clarifying what is missing or needed to support gender-responsive reporting in NCs and biennial update reports (BURs). In doing so, the toolkit offers practical guidance, checklists, and case studies that illustrate how countries can establish institutions to support the NC/BUR process and gathering information and data for NCs and BURs in a gender-responsive manner.

113. It also offers suggestions on how to integrate gender considerations in the resulting reports. Specific to adaptation, it suggests that countries highlight where gender is profiled in existing adaptation initiatives and identify the potential for linking gender-responsive adaptation to commitments under the *Convention on the Elimination of All Forms of Discrimination against Women*, national sustainable development plans, national gender policies or action plans. This information may be gathered from stakeholder consultations, the stocktaking process outlined in the toolkit, or a working group on adaptation established as part of the NC process. Further, it recommends including gender-related indicators to allow for tracking change and progress over time, such as the number of female- vs. male-headed households displaced by climate-induced drought (tracked using census data) or cases of dengue fever in males versus females (tracked using administrative health data). The toolkit is available in English, French and Spanish.

³⁵ Available at <https://www4.unfccc.int/sites/NAPC/Documents/Supplements/NAPGenderToolkit2019.pdf>

³⁶ Available at <https://www.undp.org/content/undp/en/home/librarypage/womens-empowerment/gender-responsive-national-communications.html>

3.9.2.3. NAP technical guidelines

114. The NAP technical guidelines (see part I, section 2.3.1 above) highlight the importance of integrating a gender perspective into the NAP process, and outline possible activities to facilitate this. These activities include: assessing available information on women and other especially vulnerable groups, and undertaking further research; ensuring the participation of women and other vulnerable groups in the NAP process, and integrating the perspectives of women and their unique adaptation knowledge and local coping strategies when formulating the NAP; using sex-disaggregated data in vulnerability and adaptation assessments; and monitoring and reporting on integration of gender considerations into the NAP process. Based on these activities, countries can extract information to be incorporated into their NAP and other documents.

3.9.2.4. Introduction to integrating African Indigenous and Traditional Knowledge in National Adaptation Plans, Programmes of Action, Platforms and Policies

115. This report, published by the Indigenous Peoples of Africa Coordinating Committee, aims to help countries incorporate indigenous and traditional knowledge in their documents and plans under the UNFCCC and in related instruments.³⁷ Included as a supplement to the NAP technical guidelines, the report offers advice for effectively, meaningfully and respectfully integrating indigenous and traditional knowledge in adaptation planning.

116. Although it does not specify how to report on this integration, the report nonetheless provides guidance that can facilitate obtaining information for planning, reporting and communicating. It suggests, for example, how to integrate indigenous and traditional knowledge in NAPs through a multi-level process, beginning with workshops and activities to enable oral knowledge to be transformed into usable data and local decisions, then group processes to gather and select regional-level data, and then deploying policy platforms to allow for data synthesis and interaction with national-level policymakers. Moreover, the report highlights principles and challenges that adaptation planning teams can keep in mind when integrating indigenous and traditional knowledge in plans and strategies. It also points to technologies and methodologies that help translate oral traditional knowledge into formats that are user-friendly for adaptation – such as landscape/seascape modelling and Cybertracker technology – and the types of adaptation-related knowledge that these can contribute, such as how to buffer against drought, monitoring and responding to changes in plants and wildlife, as well as water management. This may help identify entry points for integrating this knowledge in the planning, which may in turn generate information for the purposes of reporting and communicating in NAPs, ADCOMs, and other documents. While it has a regional focus on Africa, the report can be helpful for other regions looking for guidance for integrating indigenous and traditional knowledge in NAPs and related policies, reports, and communications.

3.9.3. Linkages and observations

117. Despite the absence of explicit inclusion of this element in other UNFCCC arrangements, this section suggests that Parties nonetheless have a number of entry points in these existing arrangements and related guidance documents that can facilitate the preparation of information related to gender-responsive adaptation action and traditional knowledge, knowledge of indigenous peoples and local knowledge systems related to adaptation. Indeed, several countries have already included this information in documents submitted to the UNFCCC, which they may wish to draw upon or upon for the purposes of preparing their ADCOM. Moreover, as work towards the UNFCCC gender action plan moves forward, Parties may find opportunities to strengthen their capacity to prepare, report, and communicate related information.

3.10. Any other information related to adaptation

[TBD]

³⁷ Available at <https://www4.unfccc.int/sites/NAPC/Documents/Supplements/IPACC%20Jan%202016.pdf>

4. Concluding observations

118. [This chapter will include a summary of the contents of this guidance, general recommendations relating to the adaptation communications as a whole.]

Annex: Table: comparison of the types of adaptation-related information to be communicated/reported under guidelines of different instruments under the Convention and the Paris Agreement

NOTE: this table aims to capture only the information pertaining specifically to adaptation. Therefore, square brackets are used where the original text includes information that is not directly relevant to adaptation. This in no way diminishes the importance of the omitted details but is intended to present adaptation-specific provisions as comprehensively as possible without expanding the table. Readers are encouraged to refer to the original documents for the complete guidance.

Adaptation communications (9/CMA.1) (all provisions are "may include")	National communications of annex I Parties (decision 6/CP.25, annex)	National communications of non-annex I Parties (17/CP.8, annex)	Documents related to national adaptation plans (5/CP.17, 3/CP.20, 8/CP.24)	Biennial transparency reports (18/CMA.1)
(a) National circumstances, institutional arrangements and legal frameworks;		<p>3: Non-Annex I Parties should provide a description of their national and regional development priorities, objectives and circumstances, on the basis of which they will address climate change and its adverse impacts. This description may include information on features of their geography, climate and economy which may affect their ability to deal with mitigating and adapting to climate change, as well as information regarding their specific needs and concerns arising from the adverse effects of climate change and/or the impact of the implementation of response measures, as contained in Article 4, paragraph 8, and, as appropriate, in Article 4, paragraphs 9 and 10, of the Convention.</p> <p>4: Non-Annex I Parties are encouraged to provide a summary of relevant information regarding their national circumstances, as appropriate, in tabular form.</p>		<p>106. Each Party should provide the following information, as appropriate: (a) National circumstances relevant to its adaptation actions, including biogeophysical characteristics, demographics, economy, infrastructure and information on adaptive capacity; (b) Institutional arrangements and governance, including for assessing impacts, addressing climate change at the sectoral level, decision-making, planning, coordination, addressing cross-cutting issues, adjusting priorities and activities, consultation, participation, implementation, data governance, monitoring and evaluation, and reporting; (c) Legal and policy frameworks and regulations.</p>
(b) Impacts, risks and vulnerabilities, as appropriate;	46. The national communication shall include information on the expected impacts of climate change [...]. Parties are encouraged to use and reference relevant methodologies and guidance	29: [...] non-Annex I Parties should provide information on their vulnerability to the adverse effects of climate change, and on adaptation		107. Each Party should provide the following information, as appropriate: (a) Current and projected climate trends and hazards;

	<p>for assessing climate change impacts, vulnerability [...]. Parties may also report on specific results of scientific research in the field of vulnerability assessment and adaptation.</p> <p>47. Parties are encouraged to use the following structure when reporting information in this section:</p> <p>(a) Climate modelling, projections and scenarios: for example, updated information on climate modelling, climate projections and scenarios relevant to the assessment of climate change impacts and vulnerability;</p> <p>(b) Assessment of risks and vulnerability to climate change: for example, updated information on key economic, social and/or environmental vulnerabilities or risks related to current and expected climate change impacts;</p> <p>(c) Climate change impacts: for example, updated information on both observed and potential future impacts of climate change;</p>	<p>measures being taken to meet their specific needs and concerns arising from these adverse effects.</p> <p>32: Non-Annex I Parties are encouraged to provide information on the scope of their vulnerability and adaptation assessment, including identification of vulnerable areas that are most critical.</p> <p>33: Non-Annex I Parties are encouraged to include a description of approaches, methodologies and tools used, including scenarios for the assessment of impacts of, and vulnerability and adaptation to, climate change, as well as any uncertainties inherent in these methodologies.</p> <p>34: Non-Annex I Parties are encouraged to provide information on their vulnerability to the impacts of, and their adaptation to, climate change in key vulnerable areas. Information should include key findings, and direct and indirect effects arising from climate change, allowing for an integrated analysis of the country's vulnerability to climate change.</p>		<p>(b) Observed and potential impacts of climate change, including sectoral, economic, social and/or environmental vulnerabilities;</p> <p>(c) Approaches, methodologies and tools, and associated uncertainties and challenges, in relation to paragraph 107(a) and (b) above.</p>
(c) National adaptation priorities, strategies, policies, plans, goals and actions;	<p>46. The national communication shall include [...] an outline of the action taken to implement Article 4, paragraph 1(b) and (e), of the Convention with regard to adaptation. Parties are encouraged to use and reference relevant methodologies and guidance for assessing [...] adaptation measures. Parties may refer, inter alia, to integrated plans for coastal zone management, water resources and agriculture.</p> <p>47. Parties are encouraged to use the following structure when reporting information in this section:</p> <p>[...]</p> <p>(d) Domestic adaptation policies and strategies: for example, updated information on progress on adaptation policies, strategies or plans that illustrate the Party's medium-</p>	<p>26: Non-Annex I Parties may provide information on [...] measures to facilitate adequate adaptation to climate change, following the provisions in these guidelines.</p> <p>36: Where relevant, Parties may report on the use of policy frameworks, such as national adaptation programmes, plans and policies for developing and implementing adaptation strategies and measures.</p> <p>53: Non-Annex I Parties may include information on opportunities for the implementation of adaptation measures, including pilot and/or</p>	<p>5/CP.17, 33: Encourages least developed country Parties, to the extent possible, to provide information on their national adaptation plan process through their national communications, as well as other channels;</p>	<p>108. Each Party should provide information on:</p> <p>(a) Domestic priorities and progress towards these;</p> <p>109. Each Party should provide the following information, as appropriate:</p> <p>(a) Implementation of adaptation actions in accordance with the global goal on adaptation as set out in Article 7, paragraph 1, of the Paris Agreement;</p> <p>(b) Adaptation goals, actions, objectives, undertakings, efforts, plans (e.g. national adaptation plans and subnational plans), strategies, policies, priorities (e.g. priority sectors, priority regions or integrated plans for coastal management, water and agriculture), programmes and efforts to build resilience;</p>

	and long-term approaches to addressing risks and vulnerability through its broader domestic development and sectoral planning;	demonstration adaptation projects, being undertaken or proposed. [...]		(c) How best available science, gender perspectives and indigenous, traditional and local knowledge are integrated into adaptation; (d) Development priorities related to climate change adaptation and impacts; [...]; (f) Efforts to integrate climate change into development efforts, plans, policies and programming, including related capacity-building activities; (g) Nature-based solutions to climate change adaptation; (h) Stakeholder involvement, including subnational, community-level and private sector plans, priorities, actions and programmes.
(d) Implementation and support needs of, and provision of support to, developing country Parties;	<p>48. Parties included in Annex II to the Convention (Annex II Parties) shall provide information on the provision of financial, technological and capacity-building support to Parties not included in Annex I to the Convention (non-Annex I Parties), including information to show how this support is new and additional. In reporting such information, Parties should distinguish, to the extent possible, between support provided to non-Annex I Parties for mitigation and adaptation activities, [...]. For activities with multiple objectives, the funding could be reported as a contribution allocated partially to the other relevant objectives.</p> <p>51. Each Annex II Party shall describe, to the extent possible, how it seeks to ensure that the resources it provides effectively address the needs of non-Annex I Parties with regard to climate change adaptation [...].</p> <p>52. Each Annex II Party shall provide information on the financial support that it has disbursed and committed for the purpose of assisting non-Annex I Parties to [...] adapt to the adverse effects of climate change [...], and for capacity-building and technology transfer in the area[...] of [...] adaptation, where appropriate. To that end, each Annex II Party shall provide summary information in textual and tabular format (see tables 6, 7 and 8 below) on allocation channels and annual contributions for the previous two calendar or financial years, without overlapping with the</p>	53: Non-Annex I Parties may include [...] as appropriate, information on how support programmes from Parties included in Annex II to the Convention are meeting their specific needs and concerns relating to vulnerability and adaptation to climate change.	<p>5/CP.17, 32: Invites Parties to provide information, through their national communications, on [...] support provided or received relevant to the national adaptation plan process;</p> <p>5/CP.17, 34. Requests the LEG, the AC and other relevant bodies under the Convention to include information in their reports on how they have responded to the requests made in this decision and on their activities relevant to the national adaptation plan process, as per their respective mandates;</p> <p>5/CP.17, 35: Invites UN organizations, multilateral, intergovernmental and other international and regional organizations to provide information on their activities to support the national adaptation plan process;</p> <p>8/CP.24, 23: Invites Parties to continue providing information on [...] support provided and received [...] via the online questionnaire</p>	<p>121. In order to enhance the transparency of reporting, a description of the underlying assumptions, methodologies and definitions, as applicable, used to identify and/or report, including: [...] (h) The type of support (e.g. adaptation, mitigation, cross-cutting);</p> <p>123. Relevant information, in a tabular format, for the previous two reporting years without overlapping with the previous reporting periods, on bilateral and regional financial support provided, specifying: [...] (h) The type of support (e.g. adaptation, mitigation or cross-cutting);</p> <p>124. Relevant information, in a tabular format, for the previous two reporting years without overlapping with the previous reporting periods, on financial support provided through multilateral channels, specifying: [...] (k) The type of support (e.g. adaptation, mitigation or cross-cutting), as available;</p> <p>125. Relevant information, in textual and/or tabular format, for the previous two reporting years without overlapping with the previous reporting periods, on financial support mobilized through public interventions through bilateral, regional and multilateral channels, including the operating entities of the Financial Mechanism and entities of the Technology</p>

	<p>previous reporting periods, including, as appropriate, the following:</p> <p>(a) The GEF, the LDCF, the SCCF, the AF, the GCF and the UNFCCC Trust Fund for Supplementary Activities;</p> <p>(b) Other multilateral climate change funds;</p> <p>(c) Multilateral financial institutions, including regional development banks;</p> <p>(d) Specialized UN bodies;</p> <p>(e) Contributions through bilateral, regional and other channels.</p> <p>53. Each Annex II Party shall provide the summary information referred to in paragraph 52 above for the previous two calendar or financial years in textual and tabular format on the annual financial support that it has provided for the purpose of assisting non-Annex I Parties, including the following: [...]</p> <p>(b) The type of support (for mitigation and adaptation activities);</p> <p>54. Each Annex II Party shall provide detailed information on the assistance provided by it for the purpose of assisting developing country Parties that are particularly vulnerable to the adverse effects of climate change in meeting the costs of adaptation to those adverse effects, in textual format and with reference to table 6 below¹.</p> <p>55. Recognizing that the goal of mobilizing financial resources referred to in decision 1/CP.16, paragraph 98, includes private financial sources, each Annex II Party should report, to the extent possible, on private financial flows leveraged by bilateral climate finance towards [...] adaptation activities in non-Annex I Parties, and should report on policies and measures that promote the scaling up of private investment in mitigation and adaptation activities in developing country Parties.</p> <p>58. Each Annex II Party shall provide, in textual and tabular formats (see table 10 below)²,</p>		<p>on NAP Central or other means as appropriate.</p>	<p>Mechanism, as applicable and to the extent possible: [...]</p> <p>(g) The type of support (e.g. adaptation, mitigation or cross-cutting);</p> <p>127. Quantitative and/or qualitative information in a common tabular format on measures or activities related to support for technology development and transfer implemented or planned since their previous report, including, to the extent possible and as relevant: [...]</p> <p>(d) Type of support (mitigation, adaptation or cross-cutting);</p> <p>128. Information, in textual format, on capacity-building support provided under Article 11 of the Paris Agreement, including, to the extent possible, qualitative and/or quantitative information on: [...]</p> <p>(b) How capacity-building support that was provided responds to the existing and emerging capacity-building needs, priorities and gaps identified by developing country Parties in the areas of [...] adaptation [...];</p> <p>129. Quantitative and/or qualitative information in a common tabular format on measures or activities related to capacity-building support implemented or planned since their previous report, including, to the extent possible and as relevant: [...]</p> <p>(d) Type of support (mitigation, adaptation or cross-cutting);</p> <p>131. In reporting information on support needed and received, developing country Parties should describe the underlying assumptions, definitions and methodologies used to provide information on support needed and received, including, as applicable, those used to: [...]</p>
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¹ Table 6 is available on page 48 of document FCCC/CP/2019/13/Add.1. See also tables 7 and 8 for adaptation-related specifications.

² Table 10 is available on page 55 of document FCCC/CP/2019/13/Add.1.

	<p>information on measures and activities related to technology transfer implemented or planned since its previous national communication or biennial report. In reporting such measures and activities, Annex II Parties shall, to the extent possible, provide information on the recipient country, the targeted area of [...] adaptation, the sector involved and the sources of technology transfer from the public or private sectors, and shall distinguish between activities undertaken by the public and private sectors. [...].</p> <p>59. Each Annex II Party shall provide information, to the extent possible, on how it has provided capacity-building support that responds to existing and emerging capacity-building needs identified by non-Annex I Parties in the area[s] of [...] adaptation [...]. Information should be reported in textual and tabular format (see table 11 below)³ as a description of individual measures and activities.</p>		<p>(h) Identify and report the type of support (mitigation, adaptation or cross-cutting);</p> <p>133. Developing country Parties should provide, in a common tabular format, information on financial support needed, including the following, to the extent possible, and as available and as applicable: [...] (f) Type of support (mitigation, adaptation or cross-cutting);</p> <p>134. Developing country Parties should provide, in a common tabular format, information on financial support received, including, to the extent possible, and as available and as applicable: [...] (k) Type of support (mitigation, adaptation or cross-cutting);</p> <p>135. Developing country Parties should provide, in textual format, information on technology development and transfer support needed under Article 10 of the Paris Agreement, including on, to the extent possible, and as available and as applicable: [...] (c) Type of support (mitigation, adaptation or cross-cutting);</p> <p>138. Developing country Parties should provide, in a common tabular format, information on technology development and transfer support received, including on, to the extent possible, and as available and as applicable: [...] (g) Type of support (mitigation, adaptation or cross-cutting);</p> <p>140. Developing country Parties should provide, in a common tabular format, information on capacity-building support needed, including the following, to the extent possible, and as available and as applicable: [...]</p>
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³ Table 11 is available on page 56 of document FCCC/CP/2019/13/Add.1.

				(d) Type of support (mitigation, adaptation or cross-cutting); 142. Developing country Parties should provide, in a common tabular format, information on capacity-building support received, including the following, to the extent possible and as available and as applicable: [...] (e) Type of support (mitigation, adaptation or cross-cutting);
(e) Implementation of adaptation actions and plans, including: (i) Progress and results achieved; (ii) Adaptation efforts of developing countries for recognition; (iii) Cooperation on enhancing adaptation at the national, regional and international level, as appropriate; (iv) Barriers, challenges and gaps related to the implementation of adaptation; (v) Good practices, lessons learned and information-sharing; (vi) Monitoring and evaluation;	47. Parties are encouraged to use the following structure when reporting information in this section: [...] (e) Monitoring and evaluation framework: for example, updated information on approaches to the monitoring and evaluation of implemented adaptation strategies or plans; (f) Progress and outcomes of adaptation action: for example, updated information on adaptation measures taken to address current risks and vulnerabilities and on their status of implementation; and updated information on progress and, where possible, outcomes and the effectiveness of already implemented adaptation measures	28: Each Party shall, in accordance with Article 12, paragraph 1 (b) and (c), of the Convention, provide to the COP information on the general descriptions of steps taken or envisaged towards formulating, implementing, publishing and regularly updating national and, where appropriate, regional programmes containing measures to facilitate adequate adaptation to climate change, and any other information they consider to be relevant to the achievement of the objective of the Convention and suitable for inclusion in their communications. 41: With a view to facilitating the formulation and implementation of sustainable development programmes, non-Annex I Parties are encouraged, as appropriate, to provide information on any steps they have taken to integrate climate change considerations into relevant social, economic and environmental policies and actions in accordance with Article 4, paragraph 1 (f), of the Convention. 47: Non-Annex I Parties are encouraged to include, as appropriate, information on national, subregional and/or regional capacity-building activities for integrating adaptation to climate change into medium and long-term planning.	5/CP.17, 32: Invites Parties to provide information, through their national communications, on what measures they have undertaken [...] relevant to the national adaptation plan process; 5/CP.17, Annex, 6 (b): [...] Parties should undertake a regular review, at intervals that they determine: [...] (b) To monitor and review the efforts undertaken, and provide information in their national communications on the progress made and the effectiveness of the national adaptation plan process. 3/CP.20, 9: Invites least developed country Parties and other interested developing country Parties that are not least developed countries that may wish to do so to forward outputs, including national adaptation plan documents, and outcomes related to the process to formulate and implement national adaptation plans, to the NAP Central. 8/CP.24, 23: Invites Parties to continue providing information on progress towards the achievement of	108. Each Party should provide information on: [...] (b) Adaptation challenges and gaps and barriers. 110. Each Party should provide the following information, as appropriate, on progress on: (a) Implementation of the actions identified in chapter IV.D above; (b) Steps taken to formulate, implement, publish and update national and regional programmes, strategies and measures, policy frameworks (e.g. national adaptation plans) and other relevant information; (c) Implementation of adaptation actions identified in current and past adaptation communications, including efforts towards meeting adaptation needs, as appropriate; (d) Implementation of adaptation actions identified in the adaptation component of NDCs, as applicable; (e) Coordination activities and changes in regulations, policies and planning. 111. Developing country Parties may also include information on, as appropriate, implementation of supported adaptation actions, and the effectiveness of already implemented adaptation measures. 112. In order to enhance their adaptation actions and to facilitate reporting, as appropriate, each Party should report on the establishment or use of domestic systems to monitor and evaluate the implementation of adaptation actions. Parties should report on approaches and systems for monitoring and evaluation, including those in place or under development.

		<p>53: Non-Annex I Parties may [...] provide information on barriers to the implementation of adaptation measures.</p>	<p>the objectives of the process to formulate and implement national adaptation plans and on experience, best practices, lessons learned, gaps and needs [...] in the process to formulate and implement national adaptation plans via the online questionnaire on NAP Central or other means as appropriate.</p>	<p>113. Each Party should provide the following information, as appropriate, related to monitoring and evaluation:</p> <ul style="list-style-type: none"> (a) Achievements, impacts, resilience, review, effectiveness and results; (b) Approaches and systems used, and their outputs; (c) Assessment of and indicators for: <ul style="list-style-type: none"> (i) How adaptation increased resilience and reduced impacts; (ii) When adaptation is not sufficient to avert impacts; (iii) How effective implemented adaptation measures are; (d) Implementation, in particular on: <ul style="list-style-type: none"> (i) Transparency of planning and implementation; (ii) How support programmes meet specific vulnerabilities and adaptation needs; (iii) How adaptation actions influence other development goals; (iv) Good practices, experience and lessons learned from policy and regulatory changes, actions and coordination mechanisms. <p>114. Each Party should provide information related to the effectiveness and sustainability of adaptation actions, as appropriate, including on:</p> <ul style="list-style-type: none"> (a) Ownership, stakeholder engagement, alignment of adaptation actions with national and subnational policies, and replicability; (b) The results of adaptation actions and the sustainability of those results. <p>116. Each Party should provide the following information, as appropriate, related to cooperation, good practices, experience and lessons learned:</p> <ul style="list-style-type: none"> (a) Efforts to share information, good practices, experience and lessons learned, including as they relate to: <ul style="list-style-type: none"> (i) Science, planning and policies relevant to adaptation; (ii) Policy innovation and pilot and demonstration projects; (iii) Integration of adaptation actions into planning at different levels; (iv) Cooperation to share information and to strengthen science, institutions and adaptation; (v) Area, scale and types of cooperation and good practices;
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				(vi) Improving durability and effectiveness of adaptation actions; (vii) Helping developing countries to identify effective adaptation practices, needs, priorities, and challenges and gaps in a way that is consistent with encouraging good practices; (b) Strengthening scientific research and knowledge related to: (i) Climate, including research and systematic observation and early warning systems, to inform climate services and decision-making; (ii) Vulnerability and adaptation; (iii) Monitoring and evaluation.
(f) Adaptation actions and/or economic diversification plans, including those that result in mitigation co-benefits;				109. Each Party should provide the following information, as appropriate: [...] (e) Any adaptation actions and/or economic diversification plans leading to mitigation co-benefits;
(g) How adaptation actions contribute to other international frameworks and/or conventions;				
(h) Gender-responsive adaptation action and traditional knowledge, knowledge of indigenous peoples and local knowledge systems related to adaptation, where appropriate;				
(i) Any other information related to adaptation				117. Each Party may provide, as appropriate, any other information related to climate change impacts and adaptation under Article 7.
				115. Each interested Party may provide, as appropriate, information related to enhancing understanding, action and support, on a cooperative and facilitative basis, to avert, minimize and address loss and damage associated with climate change impacts, taking into account projected changes in climate-related risks, vulnerabilities, adaptive capacities and exposure, including, as appropriate, on: (a) Observed and potential climate change impacts, including those related to extreme

				weather events and slow onset events, drawing upon the best available science; (b) Activities related to averting, minimizing and addressing loss and damage associated with the adverse effects of climate change; (c) Institutional arrangements to facilitate the implementation of the activities referred to in paragraph 115(b) above.
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Document information

<i>Version</i>	<i>Date</i>	<i>Description</i>
Updated revised draft	21 June 2021	Updated interim version June 2021
Updated revised draft	2 March 2021	AC 19 This updated document (AC19/GUID/6B) was prepared for further consideration by the AC.
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Revised draft	19 August 2020	Post AC 17 A revised draft initial outline (AC17/GUID/6B) was prepared for further consideration by the AC.
n/a	20 February 2020	AC 17 The AC agreed to continue work inter-sessionally on the draft presented in document AC/2020/4 .
n/a	16 August 2019	AC 16 The AC requested the secretariat to prepare a first outline of the draft supplementary guidance (AC/2019/19) for further consideration.

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