

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

The Adaptation Committee (AC) will be invited to consider the current interim version of the draft supplementary guidance for voluntary use by Parties in communicating information in accordance with the possible elements of an adaptation communication, and provide further guidance on how to develop it further.

Considerations

1. The following version has been prepared following a webinar on 30 June 2021 and revised interim version discussed at a conference call with the issue leads and other interested AC members on 19 August 2021. This version does not present a fully revised draft, but merely a snapshot of the current status of work.
2. It is based on the consideration that the draft supplementary guidance should:
 - a) Uphold consistency with agreed nature of ADCOMs, which may be submitted as component of/in conjunction with other communications or documents, and its relationship with 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 ADCOM and other communication and reporting arrangements, in particular “value added” of ADCOM;
 - f) Reflect that adaptation is an iterative process with different stages that may overlap in timing and resources, and that it 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.

TABLE OF CONTENTS

1.	Introduction	3
1.1.	Approach	3
1.2.	Content	3
2.	Part I: guidance relevant for the adaptation communications	4
2.1.	Existing guidance for the adaptation communications in the Paris Agreement and CMA decisions	4
2.2.	Submitting an adaptation communication as a component of, or in conjunction with, other communications and/or documents: relevant guidelines and considerations	6
2.3.	Scope of, and information synergies with, existing guidelines for the main vehicle documents	10
2.4.	Considerations and observations on part I	16
3.	Part II: supplementary guidance to facilitate the preparation of information on specific elements	16
3.1.	Communicating information on possible elements of an adaptation communication: relevant linkages, existing approaches and methodologies	16
3.2.	National circumstances, institutional arrangements and legal frameworks	16
3.3.	Impacts, risks and vulnerabilities	18
3.4.	National adaptation priorities, strategies, policies, plans, goals and actions	20
3.5.	Implementation and support needs of, and provision of support to, developing country Parties	22
3.6.	Implementation of adaptation actions and plans, including:	25
3.7.	Adaptation actions and/or economic diversification plans, including those that result in mitigation co-benefits	28
3.8.	How adaptation actions contribute to other international frameworks and/or conventions	29
3.9.	Gender-responsive adaptation action and traditional knowledge, knowledge of indigenous peoples and local knowledge systems related to adaptation	31
3.10.	Any other information related to adaptation	33
4.	Concluding observations	34

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 guidelines as well as for navigating the linkages between the ADCOMs and other adaptation arrangements. It should be understood as a “travel guide” for Parties who are preparing their ADCOM and 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 potentially beneficial information tools.

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 ADCOMs. This includes guidance specific to 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 “vehicles”). 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 to minimize 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 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 vehicles 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 element of information, in particular studies, handbooks and methodologies that can enhance the quality of the and facilitate its preparation;
 - iv) Suggestions by the AC on how to facilitate the preparation of the element.

¹ 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 developed further guidance for the ADCOMs, adopted in decision 9/CMA.1. In addition, three further decisions specify aspects of ADCOMs². Together, the decisions determine for the ADCOM its purpose, role in the global stocktake, guiding principles, considerations related to its submission (including with vehicles), content, recording in a public registry, and support.

Table 1 below provides an overview of the guidance contained in the Paris Agreement and those decisions.

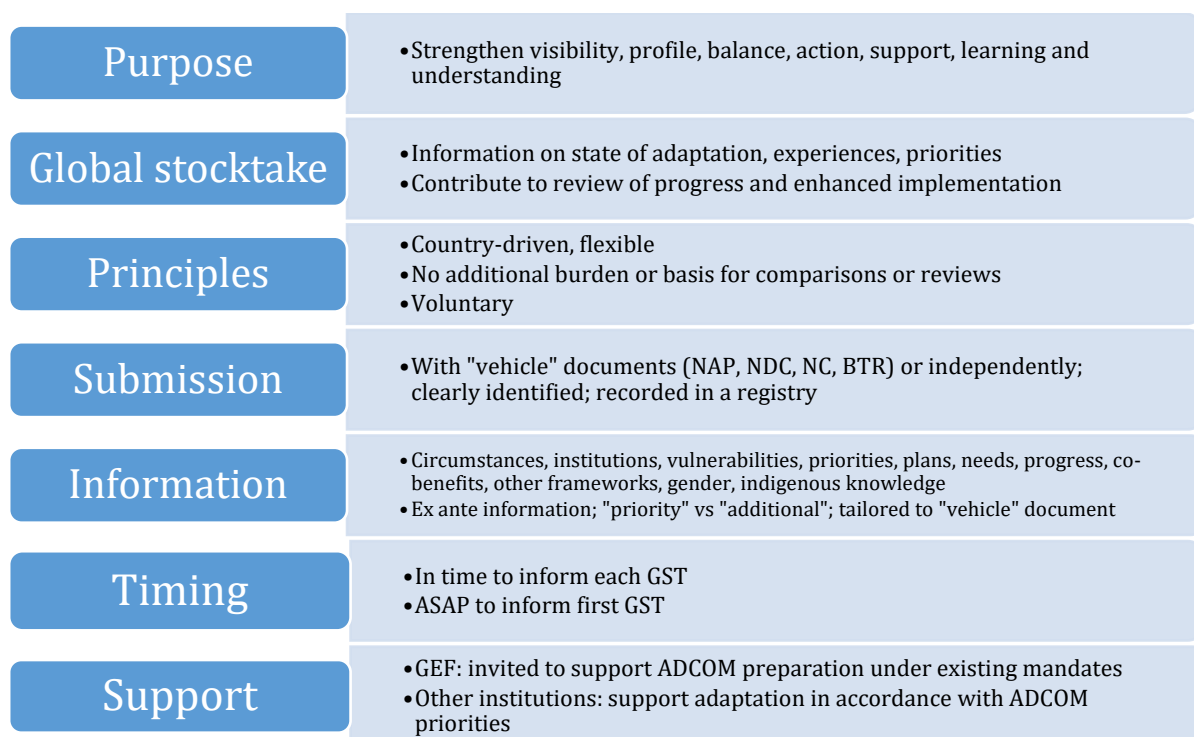
Table 1. Key elements of the guidance for ADCOMs in the Paris Agreement and CMA decisions

Aspect of guidance	Provisions	Source
Overall mandate	Each Party should, as appropriate, submit and update periodically an adaptation communication, which may include its priorities, implementation and support needs, plans and actions, without creating any additional burden for developing country Parties	Art 7.10
Purposes	Notes that the purpose of the adaptation communication is to: Increase the visibility and profile of adaptation and its balance with mitigation; Strengthen adaptation action and support for developing countries; Provide input to the global stocktake; Enhance learning and understanding of adaptation needs and actions	9/CMA.1, p. 1
Role in global stocktake	Also acknowledges that adaptation communications and other relevant information will be synthesized in line with paragraph 23(b) of decision 19/CMA.1 and will contribute to reviewing the overall progress in achieving the global goal on adaptation	9/CMA.1, p. 14
	The global stocktake referred to in Article 14 shall, inter alia: Enhance the implementation of adaptation action taking into account the adaptation communication referred to in paragraph 10 of this Article	Art 7.14 (b)
	Requests the secretariat, under the guidance of the co-facilitators referred to in paragraph 6(c) above, to prepare for the technical assessment: A synthesis report on the state of adaptation efforts, experience and priorities, summarizing the most recent information identified in paragraph 36(c) below; 36(c): The state of adaptation efforts, support, experience and priorities, including the information referred to in Article 7, paragraphs 2, 10, 11 and 14, of the Paris Agreement, and the reports referred to in Article 13, paragraph 8, of the Paris Agreement	19/CMA.1, p. 23 (b), 36 (c)
Principles	Decides that the adaptation communication: Is country-driven and flexible, including in the choice of communication or document, as provided in Article 7, paragraphs 10 and 11, of the Paris Agreement; Shall not pose any additional burden on developing country Parties, is not a basis for comparison between Parties and is not subject to review	9/CMA.1, p. 2
Using vehicle documents (see also content below)	The adaptation communication referred to in paragraph 10 of this Article shall be, as appropriate, submitted and updated periodically, as a component of or in conjunction with other communications or documents, including a national adaptation plan, a nationally determined contribution as referred to in Article 4, paragraph 2, and/or a national communication.	Art 7.11 9/CMA.1, p. 3
	As provided in Article 7, paragraphs 10 and 11, of the Paris Agreement, each Party should, as appropriate, submit and update an adaptation communication, and that the adaptation communication shall be, as appropriate, submitted and updated periodically, as a component of or in conjunction with other communications or documents, including a national adaptation plan, a nationally determined contribution as referred to in Article 4, paragraph 2, of the Paris Agreement and/or a national communication	
	Decides that Parties may, as appropriate, also submit and update their adaptation communication as a component of or in conjunction with the reports on impacts and adaptation as stipulated in Article 13, paragraph 8, of the Paris Agreement	9/CMA.1, p. 4
	Encourages Parties to clearly identify the part of the communication or document chosen, in accordance with Article 7, paragraph 11, that constitutes their adaptation communication, and to number their adaptation communications sequentially	9/CMA.1, p. 10
Content	An adaptation communication may include information on the following elements: (a) National circumstances, institutional arrangements and legal frameworks; (b) Impacts, risks and vulnerabilities, as appropriate; (c) National adaptation priorities, strategies, policies, plans, goals and actions; (d) Implementation and support needs of, and provision of support to, developing country Parties; (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; (f) Adaptation actions and/or economic diversification plans, including those that result in 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.	9/CMA.1, Annex
	Also invites Parties, according to their national circumstances and capacities, to provide in their adaptation communication information on the elements referred to in paragraph (a-d) of the annex and to provide, as appropriate, additional information on the elements referred to in paragraph (e-i) of the annex	9/CMA.1, p. 7
	Further invites Parties to include, as appropriate, ex ante information in their adaptation communication based on the elements identified in the annex	9/CMA.1, p. 8

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

	Acknowledges that Parties may, when submitting an adaptation communication, tailor the information provided, taking into account the specific communications or documents used	9/CMA.1, p. 9
	Also encourages Parties that choose to submit an adaptation communication as a component of or in conjunction with a nationally determined contribution to use the guidance included in this decision, as appropriate	9/CMA.1, p. 11-12
	Invites Parties that opt to use a nationally determined contribution consistently with Article 4, paragraph 7, and in line with paragraph 11 above to provide information on the element referred to in paragraph (f) of the annex	
	Acknowledges that Parties that choose to submit their adaptation communication as part of a national communication or a national adaptation plan may provide information taking into consideration the guidelines contained in document FCCC/CP/1999/7 and decisions 17/CP.8 and 5/CP.17	9/CMA.1, p. 13
Timing of submission	Invites Parties that choose to submit an adaptation communication to do so in time to inform each global stocktake	9/CMA.1, p. 6
	Encourages Parties to submit their first adaptation communication as soon as possible, in accordance with decision 9/CMA.1, so as to provide timely input to the first global stocktake;	1/CMA.2, p. 12
International recording	The adaptation communications referred to in paragraph 10 of this Article shall be recorded in a public registry maintained by the secretariat.	Art 7.12, 9/CMA.1, p. 5, 10/CMA.1
	Recalls that the adaptation communications shall be recorded in a public registry maintained by the secretariat in accordance with the modalities and procedures contained in decision 10/CMA.1 (<i>note: modalities and procedures for the public registry are contained in decision 10/CMA.1</i>)	
Support	Continuous and enhanced international support shall be provided to developing country Parties for the implementation of paragraphs 7, 9, 10 and 11 of this Article, in accordance with the provisions of Articles 9, 10 and 11.	Art 7.13
	Urges developed country Parties and invites other Parties that provide resources on a voluntary basis, United Nations organizations, specialized agencies and other relevant organizations as well as bilateral and multilateral agencies to continue to mobilize support for adaptation activities in developing country Parties	9/CMA.1, p. 19
	Invites the Global Environment Facility, in line with its existing mandate, to consider channelling support to developing country Parties for the preparation and submission of their adaptation communications, as a component of or in conjunction with other communications or documents, including a national adaptation plan, a nationally determined contribution as referred to in Article 4, paragraph 2, of the Paris Agreement, and/or a national communication	9/CMA.1, p. 20
	Encourages the Green Climate Fund, the Global Environment Facility, the Adaptation Fund, the Climate Technology Centre and Network and the Paris Committee on Capacity-building, in line with their existing mandates and governing instruments, to continue channelling support to developing country Parties for the implementation of their adaptation plans and actions in accordance with the priorities and needs outlined in their adaptation communication	9/CMA.1, p. 21

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



2.2. The role of adaptation communications in the global stocktake

5. One purpose of the ADCOM is to provide input to the GST.³ The GST, established by Article 14 of the Paris Agreement, is a cyclical mechanism through which the CMA will periodically take stock of the implementation of the Paris Agreement to assess the collective progress towards its purpose and long-term goals. The outcome of the GST will inform Parties in updating and enhancing their actions and support in accordance with the provisions of the Agreement, as well as international cooperation for climate action.⁴

6. On adaptation, the GST will, among other things, enhance the implementation of action taking into account the ADCOM.⁵ ADCOMs will be among the sources of information for the synthesis report on the state of adaptation efforts, experience and priorities, to be prepared by the secretariat for the technical assessment of the GST.⁶ Moreover, ADCOMs will contribute to reviewing the overall progress in achieving the global goal on adaptation through the GST.⁷ Considering this multifaceted role of ADCOMs (see Figure 2 below for an overview), Parties who choose to submit an ADCOM have been invited to do so in time to inform each GST⁸ and further encouraged to submit their first ADCOM as soon as possible to provide timely input for the first GST.⁹

Figure 2: role of the ADCOMs in the global stocktake

³ 9/CMA.1, para. 1.

⁴ Article 14, para. 3 of the Paris Agreement.

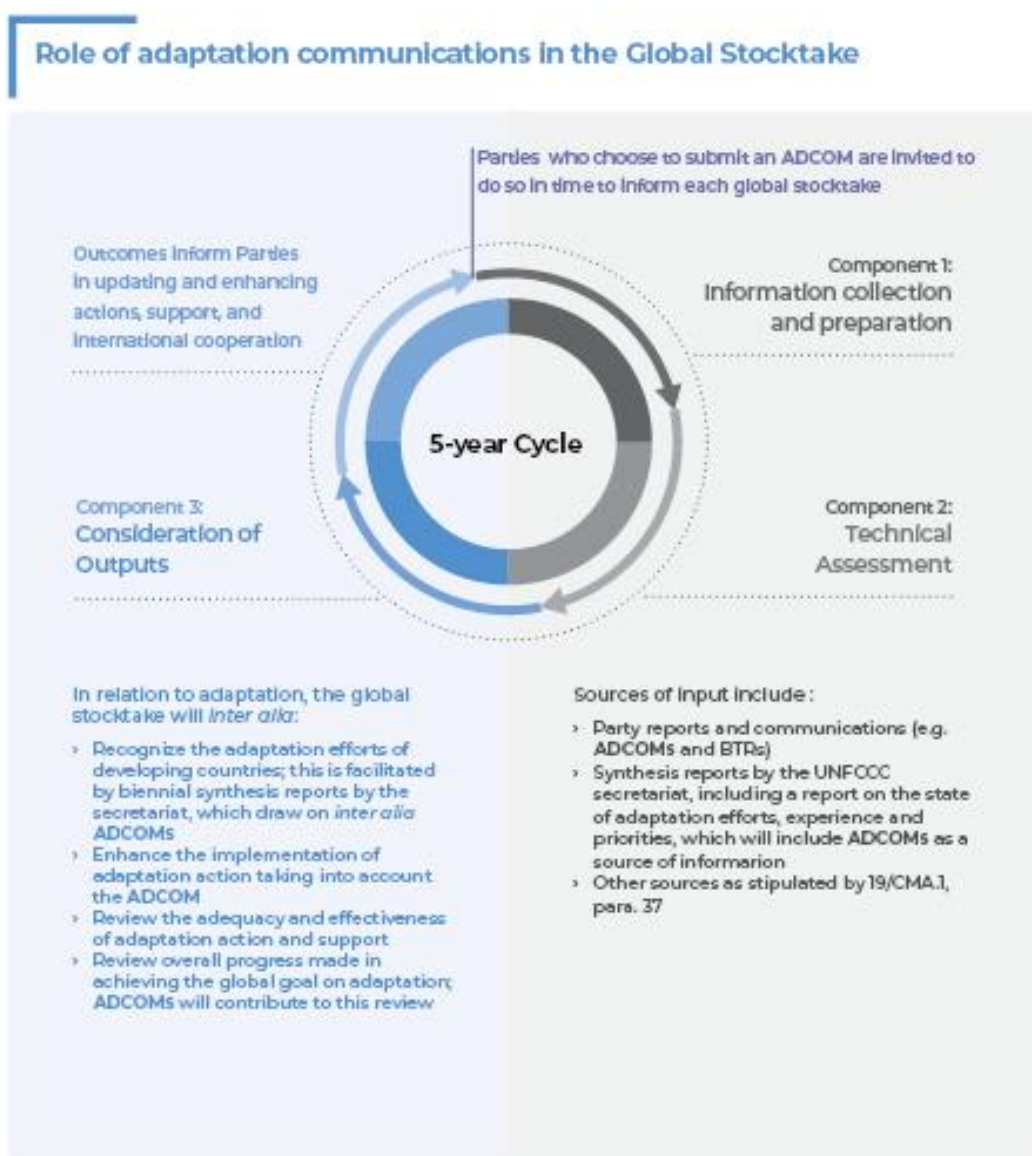
⁵ Article 7, para. 14(b) of the Paris Agreement.

⁶ 9/CMA.1, para. 14; decision 19/CMA.1, para. 23(b).

⁷ Decision 9/CMA.1, para. 14.

⁸ Decision 9/CMA.1, para. 6.

⁹ Decision 1/CMA.2, para. 12.



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

7. Article 7, paragraph 11 of the Paris Agreement stipulates that “the adaptation communication referred to in paragraph 10 of this Article shall be, as appropriate, submitted and updated periodically, as a component of or in conjunction with other communications or documents, including a national adaptation plan, a nationally determined contribution as referred to in Article 4, paragraph 2, and/or a national communication. Paragraph 4 of decision 9/CMA.1 further stipulates that, in addition, the adaptation communication can also be submitted as a component of or in conjunction with a biennial transparency report.

8. This way, four possible, though not exclusive, vehicles are identified in the Paris Agreement and 9/CMA.1: national adaptation plan (NAP), nationally determined contribution (NDC), national communication (NC), and biennial transparency report (BTR). Those Parties intending to submit with a

vehicle document should prepare their ADCOM while considering the existing guidance, submission modalities and timeframes, for the vehicle document of their choice. Parties can also change the vehicle document between ADCOMs.

9. Submitting an ADCOM as a component involves integrating it into the vehicle document. The nature of the integration is up to the Party. Possible approaches are e.g. identifying an existing part of the vehicle as the ADCOM¹⁰, 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). 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.

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

11. Figure 3 below illustrates the options for submitting an ADCOM.

Figure 3: options for submitting and updating an ADCOM

[TBD]

12. In addition, Parties need to consider how the ADCOM relates to the timeframes of the vehicle documents. Figure 4 below outlines the timelines for the “vehicle” documents and related processes.

13. As stipulated in Article 7, paragraph 12, of the Paris Agreement, the ADCOMs shall be “recorded in a public registry maintained by the secretariat”. Table X below illustrates the main parameters for the public registry.

Table 2: guidance in decision 10/CMA.1 for the public registry for ADCOMs

Aspect of guidance	Provisions
Modalities for operation	<p>1. The public registry referred to in Article 7, paragraph 12, of the Paris Agreement:</p> <p>(a) Presents the recorded adaptation communications on a separate page for each Party in tabular format, with one row for each adaptation communication and columns displaying, as appropriate: name of Party; document title; document type; hyperlinks to corresponding documents containing the adaptation communications, as appropriate, submitted as a component of or in conjunction with other communications or documents, including a national adaptation plan, a nationally determined contribution and/or a national communication, as referred to in Article 7, paragraph 11, of the Paris Agreement; and version number, status, language and date of submission;</p> <p>(b) Provides the flexibility for each Party to submit its adaptation communication in the way it wishes;</p> <p>(c) Has the capability of sorting, recording and displaying adaptation communications;</p> <p>(d) Preserves the integrity of the adaptation communications in accordance with their country-driven nature;</p> <p>(e) Avoids unauthorized access to or alteration of its content;</p> <p>(f) Ensures user-friendly navigation to and between relevant registries and other web resources;</p> <p>(g) Utilizes relevant web tools to notify users, upon request, of new and modified registry content;</p> <p>(h) Constitutes an intuitive, easy-to-use web-based platform;</p> <p>(i) Provides a user-friendly interface in all six official languages of the United Nations.</p>
Submissions of ADCOMs	<p>2. The secretariat:</p> <p>(a) Provides each Party with a unique user account for the public registry;</p> <p>(b) Provides technical assistance to Parties for uploading adaptation communications to the public registry, as required.</p> <p>3. The national focal point of each Party submits the Party's adaptation communication by uploading it to the registry, or informs the secretariat of the vehicle used as the adaptation communication.</p>
Maintaining a record of ADCOMs	4. The public registry constitutes an archive and maintains the hyperlinks of all previously submitted adaptation communications referred to in Article 7, paragraph 11, of the Paris Agreement as a matter of public record.
Access to ADCOMs	<p>5. Parties, non-State actors, other stakeholders and the public can view, read and download the adaptation communications from the public registry.</p> <p>6. To the extent possible, the public registry should be easily accessible to users with slow Internet connections.</p>
Roles	<p>7. The national focal point of each Party manages the Party's interaction with the secretariat regarding the adaptation communication in the public registry.</p> <p>8. The national focal point of each Party is assigned a unique user account to manage the Party's content in the public registry.</p> <p>9. The secretariat communicates with and provides assistance to Parties using the public registry, including through a user guide, training programmes and online support.</p>

¹⁰ Of the 18 ADCOMs submitted as of 5 August 2021, eleven are adaptation components of NDC, five are stand-alone documents, one Party is a NAP, and one consists of the adaptation sections of an NC. See also <https://unfccc.int/topics/adaptation-and-resilience/workstreams/adaptation-communications>.

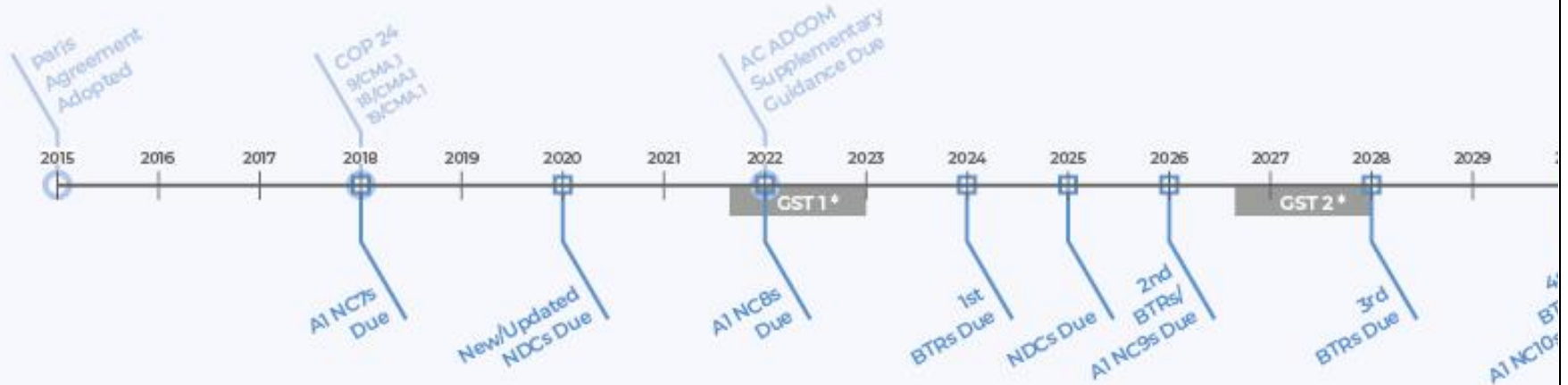
14. In this context, Parties might want to consider how the ADCOM relates to the timeframes of the vehicle documents. Figure 4 below provides an overview of the milestones and timeframes under the Paris Agreement.

For the various submission pathways, the secretariat was requested by the CMA to assist Parties, stakeholders and the public in the use of the public registry, including via a user guide, training and online support. Queries about this can be sent to adaptation-communications@unfccc.int.

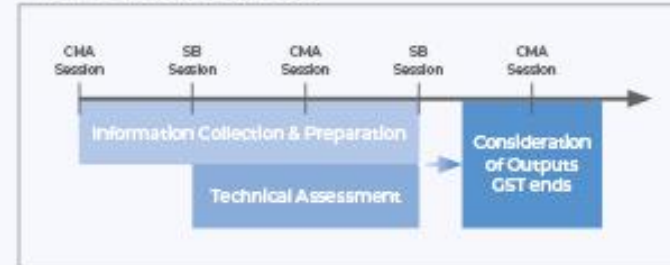
Figure 4.

Milestones and timelines under the Paris Agreement

- Parties can submit NAPs at any time
- NAI NCs should be submitted every four years without a clear starting date
- Parties who choose to submit an ADCOM are invited to do so in time to inform each GST and encouraged to submit their 1st ADCOM as soon as possible to provide timely input for GST 1



⁺ The three components of the GST



2.4. Existing vehicle document guidelines and information synergies

15. In addition to the above submission options, it is important to consider existing guidance for the vehicle documents to enhance coherence of information, reduce duplications, and benefit from information synergies between the ADCOM and the vehicle. This section provides an overview of such guidance and outlines potential linkages and information synergies. Table 2 identifies where the guidelines for the four vehicle documents identified by the Paris Agreement and 9/CMA.1 are located. The following sections describe each set of guidance and elaborate on the information synergies with the ADCOM guidelines.

Table 3. 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 ¹	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	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
	9/CMA.1	Entire document	
NC	6/CP.25 (for developed countries)	Section VII (paras 46-47)	https://unfccc.int/sites/default/files/resource/cp2019_13a01_adv.pdf
	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	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

2.4.1. National Adaptation Plans (NAPs)

16. NAPs are national policy instruments for coordinating and driving national adaptation actions, ideally serving as an umbrella for action on all sectors, levels of governance, and geographical areas. One output of the NAP process can be a document submitted to NAP Central, which can serve as vehicle 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. The COP has adopted further decisions to address specific aspects of NAPs², and supplementary materials are available to support NAPs.³ 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 7 July 2021, 24 countries had completed the formulation of their first NAP and shared them on NAP Central. 125 developing countries had undertaken activities related to NAPs, 55 of which are being supported by the GCF in formulating their NAPs.⁴

17. The COP has adopted decisions related to providing information on NAPs, in particular:

- a) 5/CP.17 invited Parties to provide information on NAPs, as part of NCs and other channels (paras 32-33), including progress and effectiveness (annex, para 6 (b)). The decision also invited United Nations and other organizations to provide information on activities to support NAPs (para 35);
- b) 3/CP.20 invited Parties to share outputs on NAPs via NAP Central and other means (para 9);
- c) 8/CP.24 invited Parties to provide information on progress on 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 (para 23);

¹ NAPs are an instrument 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.

² <https://unfccc.int/topics/adaptation-and-resilience/workstreams/national-adaptation-plans-naps/decisions-conclusions-national-adaptation-plans>

³ <http://www4.unfccc.int/nap/Guidelines/Pages/Supplements.aspx>

⁴ See document FCCC/SBI/2020/INF.1, page 6, for more information.

- d) In addition, the LEG Technical Guidelines recommend how to report on NAPs (see pages X-Y).
18. Given that NAPs provide a framework for planning of adaptation efforts in all sectors and levels, they generate information that can benefit the ADCOM. The four elements of the process encompass many adaptation-related activities, in particular:
- a) Synthesizing 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 and prioritizing options, as well as activities to integrate adaptation into planning;
 - f) Developing an implementation strategy;
 - g) Implementing the actions;
 - h) Monitoring and reviewing progress and reporting.
19. Such activities are linked with the elements of ADCOMs identified by 9/CMA.1, in particular: (a) national circumstances, arrangements and frameworks; (b) impacts, risks and vulnerabilities; (c) priorities and plans; (d) needs; (e) implementation of actions, monitoring and evaluation. Given such synergies, the ADCOM can be built on information collected and generated during the formulation and implementation of NAPs. This provides opportunities to tailor the information in ADCOMs to be coherent with the NAP, to reduce duplications and burdens, and to pursue 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 for NAPs, and establish arrangements and information sharing that enable preparing the ADCOM based on the information generated during the formulation and implementation of the NAP.

2.4.2. Nationally Determined Contributions (NDCs)

20. 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.”

21. NDCs are communicated by Parties every five years, in accordance with 1/CP.21 and relevant CMA decisions (Article 4, paragraph 9). In 2020/2021, many Parties submitted their second or updated NDCs, which are captured in the NDC interim registry.⁵
22. The Lima Call for Climate Action invited Parties to include an adaptation component in their INDCs (1/CP.20, para 12). Many Parties did so, and currently the NDCs of 132 Parties include an adaptation component.⁶
23. Further, of the [48] second and updated NDCs, [39] contain adaptation information, and [eleven] are designated as ADCOMs⁷. The Paris Agreement and CMA decisions elaborate how adaptation information can be provided as part of NDCs⁸. The Paris Agreement, in Article 7, paragraph 11, identifies an “adaptation component of an NDC” as one of the vehicle documents. In addition, 4/CMA.1, paragraph 8, and 9/CMA.1, paragraph 11, indicate that the guidance for the ADCOM in 9/CMA.1 is relevant for preparing adaptation components of NDCs. No other guidance currently exists for that purpose. Therefore, the guidance in 9/CMA.1 can be understood as having a double function: it guides: (a) ADCOMs in general; (b) adaptation

⁵ <https://www4.unfccc.int/sites/NDCStaging/Pages/All.aspx>

⁶ A summary of the types of the adaptation information contained in the INDCs is available in sections I.E and II.F of the document *Aggregate effect of the INDCs: an update by the secretariat*.

⁷ See <https://unfccc.int/topics/adaptation-and-resilience/workstreams/adaptation-communications>

⁸ 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)).

components of NDCs specifically. Consequently, if using an NDC as a vehicle document, Parties can use the guidance in 9/CMA.1, in particular when defining the content. However, the vehicle of submission does not necessarily determine the sources of information. Therefore, a Party can also develop the adaptation component of an NDC based on the information generated by e.g. the process to formulate and implement NAPs. When using the NDCs as a vehicle, Parties will need to follow its timeframes (every 5 years, in 2020, 2025, 2030, etc.).

2.4.3. National communications

24. NCs are regular and comprehensive reports by Parties on all aspects of their climate efforts. Annex I Parties submit their NCs every four years⁹, 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 (decision 6/CP.25)¹⁰. 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 identify adaptation information to be included (see table 3 and annex I).

25. The guidance for NCs of non-Annex I Parties was adopted in 2002 (17/CP.8)¹¹ to encourage consistency, transparency and comparability of information, facilitate guidance to 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 [National Reports Submission Portal](#), and posted on the web. Content-wise, non-Annex I Parties should include information on e.g. national circumstances, vulnerabilities, adaptation plans and priorities, implementation, challenges and gaps, monitoring and evaluation, and support (see table 3 and annex I).

26. Similar to NAPs, when submitting an ADCOM with an NC, Parties can benefit from synergies due to the similarities in the types of information. Table 3 below identifies 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 4. Potential information synergies between ADCOMs and national communications

Note: the numbers identify the paragraph(s) of the guidelines in which the type 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)

⁹ The eighth national communications of Annex I Parties are due no later than 31 December 2022

¹⁰ Available at: <https://unfccc.int/sites/default/files/resource/cp2019_13a01E.pdf>.

¹¹ 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.

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)

27. All Parties have already submitted at least one NC, and are thus likely to have acquired experience, developed databases, and built key capacities, which can be drawn upon for information for the ADCOM.

2.4.4. Biennial transparency reports

28. The adaptation-related purpose of the BTRs 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 GST (Paris Agreement Art. 13.5). The guidelines for BTRs were adopted at COP 24 in decision 18/CMA.1. They define the purpose, timeframes, process and types of information to be included (see annex I).¹² They also specify that the BTR could facilitate the recognition of efforts of developing countries (18/CMA.1, para 105). BTRs are submitted every 2 years, beginning in 2024 (*ibid.*, para 3). The secretariat posts them on the web and synthesizes them (*ibid.*, para 6). They are also considered in the synthesis reports for the GST.

29. Paragraphs 104 to 117 of the BTR guidelines detailed information that should be included on adaptation, while emphasizing that its provision is not mandatory. However, Parties may also cross-reference information in other documents, and focus on updates of previous information (*ibid.*, para 14).

30. 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 within 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 around the BTR cycle, for instance, by submitting an ADCOM with every second BTR, by providing an ADCOM that complements or updates the information in a BTR as needed, or by varying the type of information that the ADCOM contains in each BTR (e.g. *ex ante* information every two years, and *ex post* every two years).

31. 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 5. Potential information synergies between ADCOMs and BTRs

Note: the numbers identify the paragraph(s) of the guidelines in which the type 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)

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

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)
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

2.5. Considerations and observations on part I

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

33. The similarities in the types of information reported in other adaptation arrangements illustrate the scope to build the ADCOM on information prepared for existing documents: Paris Agreement and 9/CMA.1 link the ADCOM with other communications and/or documents, and also emphasize the importance of avoiding burdens and duplications. 9/CMA.1 also stipulates that Parties may tailor the information in the ADCOM based on the “vehicle” document, that, when submitting an ADCOM with NAP-related documents, Parties should consider the guidelines for NAPs in 5/CP.17, and, when submitting with NCs, consider the guidelines in decision 17/CP.8 (for developing countries), and decision 6/CP.25 (for developed countries). This implies that Parties can either use existing information to populate their ADCOM, include a summary of that information, or reference to it. This helps ensure that the ADCOM does not pose any additional burden on developing country Parties.

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

34. This part elaborates what Parties might wish to consider when preparing the information on each of the nine types of information identified in 9/CMA.1. For each, this part provides a brief description, an overview of 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. National circumstances, institutional arrangements and legal frameworks

35. 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.

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

36. 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 6. Provision of related information under various UNFCCC guidelines

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))

3.1.2. Resources that can facilitate preparing information on this element

37. Possible resources that could help prepare the information on this element include:

- a) LEG *Technical guidelines for the national adaptation plan process* (2012);
- b) The UNFCCC *User Manual for the Guidelines of National Communications from Non-Annex I Parties* (2003);
- c) The CGE *Handbook on institutional arrangements to support MRV/transparency of climate action and support* (2020)

Table 7: possible resources to facilitate communication on adaptation priorities, strategies, policies, plans, goals and actions

Author	Resource	Short description	Specific suggestions related to this element
LEG	Technical guidelines for the national adaptation plan process	Identify specific steps and activities to formulate and implement a NAP	The guidelines identify possible components of a progress report on the NAP to the COP, including information on national circumstances, development priorities and objectives, geography, climate, and the economy, which may affect progress on the NAP; as well as institutions relevant to the NAP (LEG 2012, 115).
UNFCCC	User Manual for the Guidelines of National Communications from Non-Annex I Parties	Provides specific suggestions for reporting on adaptation efforts in national communications (see pages 14-18)	<ul style="list-style-type: none"> - Information on national circumstances should be linked to other chapters of the NC, and that other subject areas should refer to the national situation; - The section on national circumstances could include information on: <ol style="list-style-type: none"> (a) Geography, including climate, forests, land use, and other environmental aspects; (b) Population, including growth rates, distribution, density and other vital statistics; (c) Economy, including energy, transport, industry, mining, tourism, agriculture, fisheries, waste, health and services sectors; (d) Education, including scientific and technical research institutions; (e) Other relevant information, e.g. relating to Article 4.8, 4.9 and 4.10, of the Convention; - Tabular format, tables and charts can enhance the presentation of information. - The Manual also suggests types of information on institutions, in particular: <ol style="list-style-type: none"> (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).
CGE	Handbook on institutional arrangements to support MRV/transparency of climate action and support	Provides suggestions for how to report on various types of information under the transparency framework (see pages 58-61)	- Important to describe 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.; 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. - Information reported on institutions can include description of, i.a.: (a) Relevant institutions, and interlinkages between them; (b) How institutions enable compatibility between climate action, other environmental goals and SDGs. - For adaptation, important to include 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. - Organization charts can help readers understand interlinkages between institutions.

3.1.3. Linkages and observations

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

39. Parties' NCs 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.

40. 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 additional analysis. This information could be enhanced via visual tools to provide a concise overview of arrangements and their role in governance of adaptation efforts.

41. Like institutions, information on legal frameworks is likely to be available in national legislative record. Based on such a record, Parties can prepare an overview of frameworks most relevant to adaptation. Similarly, the presentation of this information could be enhanced with visual tools.

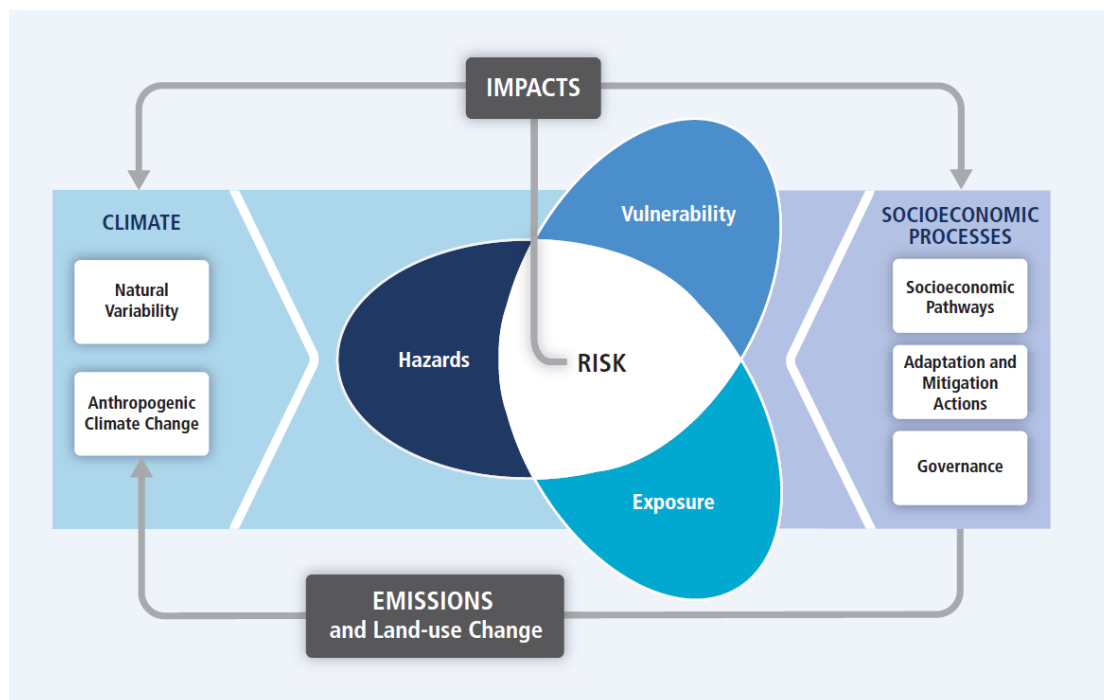
3.2. Impacts, risks and vulnerabilities

42. Similar to element (a), this element contains three types of information. The IPCC defines the 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."

43. The three concepts are closely linked. Figure 3 presents the IPCC's characterization of the links.

Figure 2. concepts of risk, impacts and vulnerability and their links (from Adger et al. 2014, 3)



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

44. Information on this element is features in various UNFCCC guidelines, as illustrated in table 6 below.

Table 8. Provision of related information under various UNFCCC guidelines

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))

3.2.2. Resources that can facilitate preparing information on this element

45. Possible resources that could help prepare the information on this element include:

- IPCC *Technical Guidelines for Assessing Climate Change Impacts and Adaptation* (1994);
- The UNFCCC *User Manual for the Guidelines of National Communications from Non-Annex I Parties* (2003).

Table 9: possible resources to facilitate communication on impacts, risks and vulnerabilities

Author	Resource	Short description	Specific suggestions related to this element
IPCC	Technical Guidelines for Assessing Climate Change Impacts and Adaptation	Focus on steps to assess impacts and adaptation; suggestions related to communication of results	- 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; - Methodologies, assumptions, uncertainties and results of studies should be transparent. They should be fully identified and substantiated, the sources of climate models should be cited, and results should be accessible.

OECD	Communicating Progress in National and Global Adaptation to Climate Change	Overview of adaptation reporting (ADCOM, GST, NC, NDC). For ADCOM, describes challenges and opportunities, and five of elements.	- On impacts, vulnerabilities, and risks, the document suggests that country reporting on how assessments are conducted could help other countries learn lessons as to how to improve such assessments. - Examples for IVR could be drawn from the growing body of experience in assessing and reporting on impacts and vulnerability in NCs, either through assessments or detailed descriptions. Given that such information is already prepared for NCs, reporting it in an adaptation communication does not need to constitute an additional burden.
UNFCCC	User Manual for the Guidelines of National Communications from Non-Annex I Parties.	Provides specific suggestions for reporting on vulnerability analysis in national communications (see pages 14-18)	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, baselines, 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 human systems, sectors and areas to current / future climate change; e) Limitations of 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). - The manual suggests a matrix to summarize information on vulnerabilities and impacts.

3.3. Linkages and observations

46. 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.

47. Information on this element is related to element (a), given that national circumstances are one key determinant of vulnerabilities. Thus, the information relevant to element (a) can inform 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 vulnerability assessment for which methodologies are available.

48. Given the central role of vulnerability assessments for adaptation, such assessments are likely to have been prepared as part of the preparation of NCs, 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

49. 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 visions, objectives, targets, guiding principles, and timelines. Strategies and other aspects of adaptation 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 a means to identify 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 steps or measures taken to facilitate adaptation, and often refer to specific projects. These may be taken in line with priorities, strategies, policies, plans, or goals.

50. These subcomponents do not have universal definitions and are used in a different and/or interchangeable or overlapping ways. Some terms, such as “plan” and “strategy” may mean the same thing, 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

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

Table 10. Provision of related information under various UNFCCC guidelines

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)) - Integrating climate into development plans, policies, 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

52. Possible resources that could help prepare the information on this element include:

- LEG *Technical guidelines for the national adaptation plan process* (2012);
- The UNFCCC *User Manual for the Guidelines of National Communications from Non-Annex I Parties* (2003).

Table 11: possible resources to facilitate communication on adaptation priorities, strategies, policies, plans, goals and actions

Author	Resource	Short description	Specific suggestions related to this element
LEG	Technical guidelines for the national adaptation plan process	Identify steps and activities to formulate and implement a NAP	Element D (reporting, monitoring and review), which focuses on outreach on the NAP process and reporting on progress and effectiveness, is relevant for this element, since it identifies possible components of a report on the NAP to the COP, which can include: a) Description of steps taken or envisaged under the NAP; b) Approaches, methodologies and tools used, and related uncertainties or challenges; c) Strategies and measures undertaken under the NAP process; 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.
UNFCCC	User Manual for the Guidelines of National Communications from Non-Annex I Parties	Provides suggestions for reporting on adaptation efforts in national communications (see pages 14-18)	- Sections on measures to facilitate adaptation should describe adaptation activities, measures, and programmes undertaken or planned, including at regional level; they should be updated as additional financial and technical resources and data are available. - On strategies and measures, Parties may outline options for responding to impacts, and describe ongoing activities, while recognizing that adaptation involves responses to specific effects (e.g. sea walls as a response to sea level rise) but also general development policies (e.g. economic 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. - On evaluation and prioritization of strategies and measures, the Manual acknowledges the number of methodologies and approaches available, and states that evaluation and prioritization are subject to social, economic and political feasibility and/or cultural acceptance, and should include information on methodologies used. - Related to frameworks, the Manual recognizes that existing frameworks can facilitate identifying adaptation options, strategies, and measures, as well as inform national adaptation processes, including designing strategies or projects, and mainstreaming adaptation into sustainable development. Information reported may include, i.a., priority needs and concerns, opportunities for adaptation, policies and plans.

OECD	Communicating Progress in National and Global Adaptation to Climate Change	Overview of adaptation reporting (ADCOM, GST, NC, NDC). For ADCOM, describes challenges and opportunities, and five of elements.	<ul style="list-style-type: none"> - Given many countries' large adaptation needs but limited resources, working to identify priority actions (or to identify priorities for implementation) can have several benefits at the national level such as helping to increase internal co-ordination, and may also help to attract international support for such actions - Table presenting suggestions by organization and countries on how to prioritize adaptation actions at the national level (pg. 19) - Information on a country's adaptation plan may be included in its adaptation communication, this is not a requirement, and neither is providing information on the process to develop and implement plans. - Establishing a national adaptation plan and continuing the NAP process over time can take significant resources and time. In addition, there can be a significant delay between developing an overarching adaptation strategy, and a plan to implement that strategy - Section ends with "While information on a country's adaptation plan "may" be included in its adaptation communication, this is not a requirement, and neither is providing information on the process to develop and implement plans."
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3.4.3. Linkages and observations

53. Table 8 above, as well as the framing of step D.4 of the NAP technical guidelines and the UNFCCC User Manual all 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 NAPs. Parties may thus be able to build on this information and/or make use of the processes used to collect it. Moreover, the NAP technical guidelines suggest steps to monitor and review the NAPs; Parties that have already established a mechanism for monitoring and review of their NAP, 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

54. Implementation needs may be understood as competencies, skills or services at national, subnational and sectoral levels that countries expect to require for the implementation of adaptation. Support needs may encompass finance, technology, and capacity-building required to formulate and implement adaptation efforts and to attain required competencies, skills or services. Provision of support to developing country Parties refers to the act of contributing support via a range of channels and delivery mechanisms.

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

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

Table 12. Provision of related information under various UNFCCC guidelines

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 support to 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

56. Possible resources that could help prepare the information on this element include:

- a) LEG *Technical guidelines for the national adaptation plan process* (2012);

- b) The UNFCCC *User Manual for the Guidelines of National Communications from Non-Annex I Parties* (2003).

Table 13: possible resources to facilitate communication on adaptation priorities, strategies, policies, plans, goals and actions

Author	Resource	Short description	Specific suggestions related to this element
LEG	Technical guidelines for the national adaptation plan process	Identify specific steps and activities to formulate and implement a NAP	<ul style="list-style-type: none"> - Element A (lay the groundwork and address gaps) includes steps for assessing gaps and needs related to the NAP process, such as: <ul style="list-style-type: none"> (a) Identifying available information on impacts, vulnerability and adaptation; (b) Assessing gaps and needs of the enabling environment (stocktaking); (c) Addressing capacity gaps and weaknesses; (d) Assessing development needs and climate vulnerabilities. - The guidelines also enumerate questions that countries may wish to answer in each step. - One output of this 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. - While the guidelines are not focused on reporting or communicating of information, the steps and key questions provided can orient the identification of implementation and support needs. Moreover, countries that have taken or are taking these steps may be able to use the information collected to communicate information related to this element.
UNFCCC	User Manual for the Guidelines of National Communications from Non-Annex I Parties	Provides specific suggestions for reporting on adaptation efforts in national communications (see pages 14-18)	<ul style="list-style-type: none"> - Information on needs and gaps may appear in various sections of a NC but can be elaborated in a section on "Constraints and gaps, and related financial technical and capacity needs." Such a section could include information on: <ul style="list-style-type: none"> (a) Difficulties, constraints and gaps relating to financial, technical and capacity needs, including those associated with preparing and improving NCs; (b) Financial and technical resources for activities relating to climate change and the NCs (e.g. descriptions of contributions from i.a. the Party itself, the GEF and its implementing agencies, or Annex II Parties (though bilateral or multilateral programmes)); (c) Implemented or planned projects; barriers, opportunities, and programmes providing financial and technical resources, and how programmes meet needs; (d) Needs, constraints and gaps of activities relating to technology, such as technology needs assessments (TNAs); level of financial support from Annex II Parties and the GEF; (e) Capacity-building needs for the implementation of the Convention.
UNEP DTU Partnership	Technology Needs Assessment Step by Step Guidebook	Summarizes the steps of a TNA and outlines other materials that can support the TNAs	<ul style="list-style-type: none"> - The three TNA outputs (1. report; 2. barrier analysis and enabling framework report; 3. technology action plan (TAP) report) entail analyses and reporting of technology-related implementation and support needs of developing country Parties. - The TNA report captures information on technology prioritization and its results, including a how this it has been conducted for sectors and subsectors in need of adaptation technologies. - The barrier analysis and enabling framework report reflects information on market conditions and entry barriers for each technology, including their nature, interrelations and measures to overcome these barriers and create an enabling framework for climate technologies. - The TAP report should contain i.a. the following types of information: <ul style="list-style-type: none"> (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, to be turned into a list of activities to complete each action; (c) Capacity needs and estimated human and financial resources required for each activity, as well as the required type and potential sources of financing.
CGE	Handbook on institutional arrangements to support MRV/transparency of climate action and support	Provides suggestions for how to report on various types of information under the transparency framework (see pages 58-61)	<ul style="list-style-type: none"> - The handbook provides guidance for reporting information on support needs, as well as support provided, mobilized and received. - On support provided and mobilized: developed country Parties shall provide information in accordance with MPGs, and others providing support should / are encouraged to do so. - Some information should be in a tabular format - common formats are being developed for COP26. Information on support provided and mobilized includes five categories: <ul style="list-style-type: none"> (a) National circumstances and institutions (e.g. approaches to identify, track and report public finance provided and mobilized; challenges and limitations; experience and good practices on policies and regulations to incentivize private finance; efforts to enhance comparability of information (e.g. standards, institutions, cooperation); (b) Assumptions, definitions and methodologies, including to avoid double counting; (c) Finance 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) in textual format, e.g. strategies, studies, support to technology cycle, support for endogenous capacities and technologies, efforts to encourage private sector, private sector contributions, enhancing innovation, research and development, and generated knowledge. (ii) Quantitative and/or qualitative information in a tabular format: title,

			<p>recipient entity, description, objectives, type (e.g. adaptation or cross-cutting), sector, type of technology, status of activity, and whether activity was private or public.</p> <p>(e) Information on support for capacity-building under Article 11, i.a.: (i) In textual format: strategies, studies, how capacity-building responds to needs, priorities, gaps, policies, stakeholder involvement, how capacity-building promotes sharing lessons and best practices; (ii) Quantitative and/or qualitative information in a tabular format: title, recipient entity, objectives, type (e.g. adaptation or cross-cutting), status of activity.</p> <p>- Reporting on support needed and received can be divided into six categories:</p> <p>(a) National circumstances and institutions (e.g. approaches to identify, track and report support needed and received; challenge and limitations; priorities and strategies, and aspects of NDC needing support);</p> <p>(b) Assumptions, definitions and methodologies related to tracking support received, processes to identify needs, and underlying premises;</p> <p>(c) Information on finance needed and received by developing country Parties under Article 9, including: (i) In a textual format: sectors for support is needed, and how the support contributes to NDC and Paris Agreement goals; (ii) In a tabular format: e.g. finance needed (title and description of activity; amount; time frame; financial instrument; type of support; sector and subsector; whether activity contributes to technology and/or capacity-building or is anchored in an NDC and/or national strategy; expected use, impact and estimated results) and received (title and description of activity; channel; recipient and implementing entities; amount; time frame; financial instrument; status; sector or subsector; type of support; whether activity contributed to technology and/or capacity-building; status; use, impact, estimated results);</p> <p>(d) Information on support needed and received for technology under Article 10, including: (i) On support needed: in textual format: plans, needs (e.g. for enhancing endogenous capacities and technologies), priorities (e.g. those identified in TNAs); in a tabular format: e.g. title and a description of activity, type of support and technology, time frame, sector, expected use, impact and results. (ii) On support received: in textual format: case studies, successes and failures; how support contributes to technology, endogenous capacities and know-how; the stage of technology cycle supported; and in tabular format: title and a description of activity; type of technology, time frame, recipient and implementing entities, sector, status; expected use, impact and results.</p> <p>(e) Information on support needed and received for capacity-building under Article 11, including: (i) On support needed: in textual format: the approach to enhance capacity-building support; national needs, constraints and gaps in communicating those needs; how support would improve the provision of information; processes for enhancing public awareness, and participation and access to information; and in a common tabular format: title and a description of the activity, type of support, expected time frame and use, impact and estimated results. (ii) On support received: in a textual format: case studies, successes and failures; how support enhanced capacity; support received at national, subregional and regional levels; priorities, participation and stakeholder involvement; and in a tabular format: title and a description of activity, implementing and recipient entities, type of support, expected time frame, status of activity, expected use, impact and results.</p> <p>(f) Information on support needed and received related to Article 13 and transparency, including capacity-building: (i) In a textual format: support needed and received, including for BTRs and for improvements identified by technical expert review; (ii) In a tabular format: title, objectives and description of the activity; recipient entity, channel, amount, time frame, status of activity, and use, impact and expected results.</p>
AC and LEG	<i>Inventory of Methodologies for Assessing Needs in the Context of National Adaptation Planning and Implementation</i>	The AC, in collaboration with the LEG and NWP partners, and users and developers of methodologies, launched a pilot inventory of methodologies to assess adaptation needs and how these needs can be addressed.	The inventory features tools, case studies and other resources submitted by Parties and users, and provides a hub to help users find available tools. 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. The methodologies may be used as the basis for communicating information on this element in an ADCOM.
AC	<i>[Technical paper on methodologies for assessing adaptation needs and their application, as well as related gaps, good</i>	The technical paper will be prepared for SBSTA 57 (November 2022)	

	<i>practices, lessons learned and guidelines]</i>		
OECD	Communicating Progress in National and Global Adaptation to Climate Change	Overview of adaptation reporting (ADCOM, GST, NC, NDC). For ADCOM, describes challenges and opportunities, and five of elements.	<ul style="list-style-type: none"> - Information on adaptation support will indicate progress towards climate finance targets and the balance of finance between mitigation and adaptation. - Developing country reporting on support received will help in assessments of whether support levels meet nationally identified needs, and if not, what adaptation actions/results are to be expected with the support that has been received. - Identifying needs and associated costs requires resources and time, and defining the boundaries of what adaptation finance includes is not straightforward and may not have been defined at a national level – which means that different estimates are calculated on different bases.

3.5.3. Linkages and observations

57. The preceding section suggests that many Parties will already have collected, communicated, and/or reported on information on implementation and support needs, and the provision of support in other UNFCCC processes and documents, such as NAPs, TNAs, and NCs. As with other elements, Parties may wish to use this existing information to inform the preparation of the ADCOM to avoid duplications and additional reporting burdens. Additionally, this section also suggests that the information that will be reported through the BTRs will include information relevant to this element, providing Parties further opportunities to take advantage of synergies in the reporting and communication landscape.

3.6. Implementation of adaptation actions and plans, including: progress and results achieved; adaptation efforts of developing countries for recognition; cooperation on enhancing adaptation at the national, regional, and international level, as appropriate; barriers, challenges and gaps related to the implementation of adaptation; good practices, lessons learned and information-sharing; monitoring and evaluation

58. **Progress and results achieved:** 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.

59. **Adaptation efforts of developing countries for recognition:** 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 GST. Decision 11/CMA.1 elaborates possible modalities for such recognition, including a biennial synthesis report by the secretariat under the guidance of the AC and the LEG that considers specific adaptation themes, as well as lessons learned and good practices of developing country Parties. The first of these reports, published in 2020,¹³ 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 hazards but also by the exposure and vulnerability. The synthesis highlights that adaptation responses are underpinned by common enablers, such as effective institutions and governance, innovation and investments in environmentally sound technologies and infrastructure, and sustainable livelihoods. It therefore looks at how to establish an enabling environment for adaptation in addition to efforts to reduce exposure and vulnerability and strengthen resilience and adaptive capacity.

60. **Cooperation on enhancing adaptation at the national, regional and international level:** Cooperation on enhancing adaptation at the national, regional and international level may refer to e.g. research collaboration, technology transfer, knowledge sharing, financing, capacity-building cooperation between different types of actors such as government agencies at different levels, United Nations and other intergovernmental organizations, multilateral development banks, research institutions, and more.

¹³ Available at https://unfccc.int/sites/default/files/resource/ac_synthesis_report_hazards.pdf

61. **Barriers, challenges and gaps related to the implementation of adaptation:** these may refer to barriers to adaptation planning and to implementation of adaptation.¹⁴ The former refer to any institutional, material, cultural or policy constraints that are likely to interfere with the development of a NAP or other instrument, while the latter refer to any obstacles that may delay, divert, or block the adaptation process. Challenges, meanwhile, can be understood as difficulties 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.¹⁵ The report further highlights more specific gaps in key areas, including adaptation funding gaps, adaptation technology gaps, and adaptation knowledge gaps.

62. **Good practices, lessons learned and information-sharing** can be understood as actions undertaken by Parties and non-Parties which have demonstrated success in relation to adaptation and have the potential to be replicated. Lessons learned may refer to the insights and experiences from past adaptation activities that should be taken account when pursuing future activities; this may include, e.g. information about what has or has not worked well when designing or implementing adaptation. 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.

63. **Monitoring and evaluation** consists of two complementary processes: monitoring is an ongoing process of tracking and reviewing activities, and their results and context by collecting data on previously defined indicators.¹⁶ The purpose is to be able to intervene if processes deviate from their original objective, target or standard, or if gaps need to be addressed. Monitoring also includes the documentation of experiences and lessons, to identify 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 via other measures.

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

64. Information related to the various components of this element appears in all adaptation-related UNFCCC reporting guidelines, as indicated in table 7 below.

Table 14: provision of information on this element under other UNFCCC guidelines

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;	(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	- 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	- 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	- 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,

¹⁴

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.

¹⁵ Available at https://wedocs.unep.org/bitstream/handle/20.500.11822/9331/-Adaptation_gap_report_a_prel.pdf?sequence=2&isAllowed=y

¹⁶

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

(iv) Barriers, challenges and gaps related to implementation; (v) Good practices, lessons learned, information-sharing; (vi) Monitoring and evaluation;	implemented measures (47 (f))	integrating adaptation planning (47). - Barriers to implementation of adaptation.	and experience, best practices, lessons learned, gaps and needs via online questionnaire on NAP Central or other means (8/CP.24, 23).	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, lessons learned (e.g. 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)).
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3.6.2. Resources that can facilitate preparing information on this element

65. 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 do not have available resource materials that address them individually in terms of reporting and communication; this is the case e.g. with the adaptation efforts of developing countries for recognition. In these cases, however, many countries have reported relevant information the UNFCCC, as evidenced by the first synthesis report produced on the recognition of adaptation efforts of developing country Parties, and the NDC synthesis report. This section therefore highlights a few resources that may facilitate preparing information on 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.

Table 15: possible resources to facilitate communication on adaptation priorities, strategies, policies, plans, goals and actions

Author	Resource	Short description	Specific suggestions related to this element
UNEP DTU Partnership and ICAT (2020)	Reporting Adaptation Through the Biennial Transparency Report: A practical explanation of the guidance	Suggests how Parties can report on the various sub-elements in their BTRs. While the suggestions are tailored to the BTR, they may be useful preparing an ADCOM regardless of vehicle document.	<ul style="list-style-type: none"> - Reporting on progress may encompass indicators for the implementation status of actions. For implementation of NAPs or other strategies, programmes or frameworks, provide a description of the process of formulating, executing and updating the action. - Information on results achieved will indicate outcomes of individual actions or the national adaptation process. This information can be generated by monitoring and evaluation; depending on design and capacity of the monitoring and evaluation system, the results may be quantitative indicators complemented by qualitative descriptions and data, or purely qualitative descriptions. Not all Parties currently have monitoring and evaluation systems, in which case information from ad hoc processes (e.g. donor supported projects and programmes) or sub-national systems may be used. - Regarding monitoring and evaluation, specifically, countries can provide information on the systems in place (e.g. a general overview, their capabilities and characteristics, as well as information on how specific outcomes and impacts (e.g. increases in adaptive capacity and resilience and decreases in vulnerability) are measured and assessed). Parties can answer key questions on the system's objectives, structure, and modus operandi, as well as on institutions and integration with other systems; what exactly it monitors and evaluates; the required inputs in terms of financial and human resources; and outputs. - On cooperation on adaptation and good practices, lessons learned, and information sharing, countries can report on actions they are planning, undertaking, or have undertaken that involve collaboration with, and/or sharing information, good practice, experience, and lessons learned, with partners. Information could include participation in regional and cross-border initiatives, and collaboration with non-state entities (e.g. research, private sector, and intergovernmental organizations). This information could be drawn from any stage of the adaptation process, such as modelling of climate change and impacts, planning, establishing enabling environments, and implementation. Such information could facilitate the recognition of efforts of developing country Parties by highlighting successes. - On barriers, challenges, and gaps, Parties can describe known barriers that must be overcome to address vulnerability in priority areas and achieve goals. This information may be drawn from targeted analyses, which Parties can also describe.

OECD	Communicatin g Progress in National and Global Adaptation to Climate Change	Provides an overview of UNFCCC adaptation reporting tools (ADCOM, GST, NC, NDC). Specific to ADCOM, it describes challenges and opportunities, and five of the elements.	<ul style="list-style-type: none"> - Monitoring and evaluation often include qualitative or subjective, as well as quantitative, assessments. It can include process and outcome indicators. - There is less experience with M&E of national adaptation strategies and plans, as the majority of these are new. However, e.g. Finland and France have done mid-term evaluations of adaptation plans, and other countries have established climate change progress reports and M&E indicators. - There are significant challenges in monitoring and evaluating individual adaptation actions or plans, and there is no one-size-fits-all response. - Challenges are compounded when assessing overall adaptation effects of multiple actions at an aggregated level, as there is no single indicator that can be used to assess the extent of a country's multiple different adaptation actions, approaches and needs – and not always a reliable “baseline” against which effects can be measured (AFD, 2012). - Indicators alone are not always sufficient (or appropriate) to monitor and evaluate progress in adaptation (AC, 2014b).
OECD	Insights from national adaptation monitoring and evaluation systems	Draws on insights on current national approaches to monitoring and evaluation, and puts them in the context of international climate negotiations	<ul style="list-style-type: none"> - Monitoring and evaluation can provide information to track progress towards national goals, and could serve as information sources for the GST, in particular towards the recognition of adaptation efforts (Article 7, paragraph 14 (a)) and enhancing implementation (Article 7, paragraph 14 (b)). - Monitoring can provide information on progress on i) the development and implementation of policies (monitoring processes) as well as ii) the financial or human resources allocated to developing and implementing these (monitoring inputs). - Learning from adaptation experiences depends to some extent on availability of evaluation at the national level, which is less developed than adaptation monitoring. - National monitoring and evaluation systems can only be one of the sources of information for the ADCOMs, and (indirectly) contribute to other information needs of the Paris Agreement. Assessment reports from IPCC and UNEP can complement.
European Environment Agency	Monitoring and Evaluation of National Adaptation Policies throughout the Policy Cycle	Provides definitions, examples, approaches, and lessons learned related to monitoring and evaluation	<ul style="list-style-type: none"> - This report provides an overview of country developments on strategies and plans for adaptation and their implementation in a context of global and European policy frameworks. It gives an overview and examples of (a) existing knowledge gaps and key challenges for developing adaptation policy; (b) mainstreaming approaches and experiences; (c) supporting conditions for implementation; (d) approaches to M&E; (e) indicators for monitoring and evaluation.

3.6.3. Linkages and observations

66. 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 most relevant to them. This might include, e.g. reporting on 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

67. This element involves information adaptation actions and economic diversification plans. Adaptation actions are outlined extensively in section 3.4 and 3.6 above. Economic diversification involves efforts to increase the diversity of the national economy by encouraging new types of economic activities. Such activities generally aim to reduce economic vulnerabilities, in particular the dependence on individual resources or climate-vulnerable economic activities. This element highlights the mitigation co-benefits of both types of activities. This mean information on how the activities also contribute to reduction of GHG emissions, in addition to their adaptation and/or economic diversification benefits. Article 4, paragraph 7, of the Paris Agreement stipulates that “Mitigation co-benefits resulting from Parties’ adaptation actions and/or economic diversification plans can contribute to mitigation outcomes under this Article”.

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

68. This element was introduced in the guidelines for the ADCOMs and BTRs at COP 24 in Katowice. The relevant provisions are illustrated in table X below.

Table 16: provision of information on this element under other UNFCCC guidelines

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));

69. This element also involves specific linkages with the NDCs, as summarized in box 1 below.

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

Decision 9/CMA.1 stipulates that if a party wishes to communicate information on mitigation co-benefits of its adaptation or economic diversification efforts as part of its NDC under Article 4, paragraph 7, of the Paris Agreement, it can include information on this element in their ADCOM, submitted as a component of their NDC. In addition, decision 4/CMA.1 outlines that Parties whose NDCs consist of mitigation co-benefits of adaptation and/or economic diversification shall provide, as part of the ICTU of its NDC, information on such co-benefits as outlined in Annex I of decision 4/CMA.1.¹

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).

3.7.2. Resources that can facilitate the preparation of information on this element

70. [...]

Table 17: possible resources to facilitate communication on adaptation actions and/or economic diversification plans, including those that result in mitigation co-benefits

Author	Resource	Short description	Specific suggestions related to this element
UNFCCC	Technical paper on the concept of economic diversification in the context of response measures	The technical paper outlines past FCCC work on economic diversification, the concept of economic diversification, and related policy options	- [TBD]
Co-Chairs of SBI and SBSTA	Report of the workshop on views and experiences on economic diversification and transformation and on a just transition of the workforce and the creation of decent work and quality jobs	A report of a workshop on this topic held on 2-4 October 2016 in Doha with the participation of Parties, international organizations and experts	- [TBD]

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

71. Adaptation actions that contribute to the objectives of the Convention and the Paris Agreement may also contribute to objectives of other international frameworks and/or conventions. There are links between the UNFCCC and, e.g. the Sendai Framework for Disaster Risk Reduction 2015-2030, the 2030 Agenda for Sustainable Development and its SDGs (UNFCCC, 2017), as well as with the other two Rio Conventions, namely, the CBD and the UNCCD (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).

72. Descriptions of how adaptation actions contribute to other international frameworks and/or conventions may therefore include, e.g. 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

73. While information on this element does not appear explicitly in other UNFCCC guidelines for reporting and communication, some Parties have already provided 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 of related international frameworks.¹⁷ 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, CBD, the UNCCD, and the Convention on Wetlands of International Importance especially as Waterfowl Habitat.¹⁸ Most Parties provided general descriptions of such synergies and connections, but several highlighted how specific actions contribute to individual SDGs.

74. Similarly, some Parties present relevant information in their NAPs, explaining how the actions outlined in the NAP are expected to contribute to efforts under other 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 [ETH, LCA] and efforts to align related processes to more specific connections between individual sections in the NAP and their expected contribution to objectives of other frameworks [FJI].

75. Related information also appears in some Parties' NCs. Some Parties include this information, for example, in sections of their NCs devoted to national circumstances [BHR, BIH, DMA, GEO] or efforts to mainstream climate change in development [GHA]. As such, this information is often not specific to adaptation, although, in some cases, specific linkages are drawn to individual adaptation actions [GHA].

3.8.2. Resources that can facilitate preparing information on this element

76. Possible resources that could help prepare the information on this element include:

- a) LEG *Technical guidelines for the national adaptation plan process* (2012);
- b) The UNFCCC *User Manual for the Guidelines of National Communications from Non-Annex I Parties* (2003);
- c) The joint publication *The Rio Conventions: Action on Adaptation*, by the CBD, UNCCD, UNFCCC secretariats (2012);
- d) The CBD document *Promoting Synergies in Addressing Biodiversity and Climate Change Adaptation Issues: Linking NAPs and NBSAPs* (document UNEP/CBD/COP/12/INF/29);
- e) The UNFCCC document *Opportunities and options for integrating climate change adaptation with the SDGs and the Sendai Framework for Disaster Risk Reduction 2015–2030*.

¹⁷ FCCC/PA/CMA/2021/2

¹⁸ FCCC/PA/CMA/2021/Add.1

77. While the resources (c), (d) and (e) above do not suggest specifically what information to include in reports or communications, or how to package that information, they may shed light on what information may be pertinent and which entry points exist for collecting it.

Table 18: possible resources to facilitate communication on how adaptation actions contribute to other international frameworks and/or conventions

Author	Resource	Short description	Specific suggestions related to this element
LEG	Technical guidelines for the national adaptation plan process	Identify steps and activities to formulate and implement a NAP. While not specific to communicating or reporting how adaptation contributes to other Rio Conventions, they can help identify institutions that provide related information.	The guidelines include a step to promote coordination and synergy regionally and with other environmental agreements. This builds on efforts to coordinate the design of action plans under the Rio Conventions. One activity is to identify and promote synergies with other agreements in the formulation of respective plans, in capacity-building and implementation. Two suggested approaches at the national level to promote such synergies are (a) inter-institutional bodies or coordination mechanisms to convene government agencies and stakeholders or (b) incorporating the responsibilities under the Rio Conventions in one department or unit within a ministry or agency. Three further approaches can enhance synergies among the Conventions nationally: (a) identifying and prioritizing activities under the Rio Conventions; (b) considering the obligations under the Conventions when revising or passing new legislation; and (c) making use of mechanisms under one of the Conventions to coordinate work among the three.
UNFCCC	User Manual for the Guidelines of National Communications from Non-Annex I Parties.	Provides suggestions for reporting on adaptation efforts in NCs (see pages 14-18)	The UNFCCC User Manual explains that, in the national circumstances section of their NCs, Parties could include information on the linkages between activities relating to climate change and those of other Conventions, including the CBD and the UNCCD. Some Parties have already done so in relation to the Rio Conventions as well as other frameworks.
CBD, UNCCD, UNFCCC (2012)	The Rio Conventions: Action on Adaptation	Details how the Rio Conventions' processes contribute to adaptation	The publication explains how each Convention addresses adaptation, related commitments by or invitations to Parties, key publications or decisions, and case studies highlighting examples of integrated action. This information may assist Parties in identifying how their adaptation actions contribute to these Conventions and subsequently including this information in their ADCOM.
CBD	Promoting Synergies in Addressing Biodiversity and Climate Change Adaptation Issues: Linking NAPs and NBSAPs (document UNEP/CBD/COP/12/INF/29)	Synthesizes how countries can foster linkages between national biodiversity strategies and action plans (NBSAPs) and NAPs	Highlights linkages between biodiversity and climate change, makes the case for promoting and strengthening synergies between NBSAPs and NAPs, and how NBSAP and NAP processes can be better aligned. It may provide insights into how NAPs can contribute to CBD objectives and obligations, which may, in turn, help generate material related to this element of the ADCOM.
UNFCCC	Opportunities and options for integrating climate change adaptation with the SDGs and the Sendai Framework for Disaster Risk Reduction 2015–2030	Highlights links between the three frameworks, opportunities to foster integration, challenges, and case studies demonstrating national and regional efforts to pursue integration.	By detailing the relationships between the three frameworks and examples in the national context, the paper may help countries analyse how their adaptation actions have contributed to complementary goals or initiatives under Agenda 2030 and/or the Sendai Framework.

3.8.3. Linkages and observations

78. While few guidelines for providing information on how adaptation actions contribute to other international frameworks and/or conventions, several Parties have done so already in e.g. their NAPs, NDCs, and NCs. When preparing their ADCOMs, Parties may be able to build on this information and leverage the institutions and processes they used to generate the information in the past. In addition, there are resources that explain the linkages and synergies between adaptation and actions under other international 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.

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

79. 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.

80. 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).

81. 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.”

82. 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.”¹⁹

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

83. Information on gender-responsiveness, and/or traditional, indigenous or local knowledge related to adaptation is not specified in other UNFCCC guidelines for reporting and communication. Nonetheless, many Parties have chosen to communicate or report such information. For example, some include gender considerations and -responsiveness in their NCs in relation to i.a. national circumstances [ARM, BGD], provision of support [AUS, CAN, ISL], vulnerability assessment, climate impacts, adaptation [EU, GHA], research and systematic observation [EU, BWA]. 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 the NDC.²⁰ In their NDCs, some mentioned the benefits of drawing on indigenous knowledge, particularly for adaptation, as well as the importance of combining traditional and modern practices.

84. In addition, the gender action plan of the enhanced Lima work programme on gender adopted at COP 25 (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

Table 19: possible resources to facilitate communication on how adaptation actions contribute to other international frameworks and/or conventions

Author	Resource	Short description	Specific suggestions related to this element
AC, LEG, NAP Global Network	Toolkit for a Gender-Responsive Process to Formulate and Implement NAPs	Aims to supplement the NAP Technical Guidelines. It guides the integration of gender-responsive approaches throughout the	- One entry point is compiling and communicating NAPs. It is important to apply a gender lens throughout the document. In practice, this can be done e.g. by: (a) Incorporating specific sections summarizing gender analyses and describing how they have been applied in developing the plan; (b) Describing how institutions and stakeholders were involved, and how gender balance and inclusivity were considered in decision making; (c) Addressing gender issues in every section of the plan, rather than only in the guiding principles or introductory section; etc. - Another entry point is outreach and reporting, where examples of actions include:

¹⁹ <https://www.cbd.int/traditional/intro.shtml>

²⁰ https://unfccc.int/sites/default/files/resource/cma2021_02E.pdf

		NAP process and identifies entry points for gender-responsive approaches.	(a) Tracking and reporting on gender equity in institutions and stakeholder processes; (b) documenting adaptation decision-making processes, including who was involved and the criteria used; (c) reporting gender-differentiated results from adaptation investments and progress on gender equality and women's empowerment through the NAP process;
UNDP	Gender responsive national communications toolkit	Designed to help incorporate gender and equality considerations into NCs. It is available in English, French and Spanish.	- The toolkit considers how gender can be considered in i.a. stakeholder engagement, stocktaking, promoting analysis of gender considerations, and clarifying what is missing or needed to support gender-responsive reporting in NCs and BURs. It offers guidance, checklists, and case studies that illustrate how countries can establish institutions to support NCs/BURs and gather information for them in a gender-responsive manner. - To integrate gender and adaptation in reports, countries can describe where gender is profiled in existing initiatives and the potential for linking actions 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 outlined in the toolkit, or a working group on adaptation established as part of the NC process. Further, gender-related indicators, such as the number of female- vs. male-headed households displaced by climate-induced drought (using census data) or cases of dengue fever in males versus females (using administrative health data), can allow tracking progress.
LEG	Technical guidelines for the national adaptation plan process	Highlight the importance of integrating gender into a NAP and outline possible activities for this.	Parties can assess information on women and other vulnerable groups, research, ensure the participation of women and other vulnerable groups in the NAP process, and integrate the perspectives of women and their unique adaptation knowledge and local coping strategies in the NAP, using sex-disaggregated data in vulnerability and adaptation assessments, and monitoring and reporting on integration of gender into the NAP. Based on these activities, countries can extract information for their NAP and other documents.
Indigenous Peoples of Africa Coordinating Committee	Introduction to integrating African Indigenous and Traditional Knowledge in National Adaptation Plans. Programmes of Action. Platforms and Policies	Intended to supplement NAP technical guidelines and help incorporate indigenous and traditional knowledge in UNFCCC documents, plans and other instruments effectively, meaningfully and respectfully.	- Although it does not specify how to report on integration, the report can help obtain information for planning, reporting and communicating. Indigenous and traditional knowledge can be integrated in NAPs e.g. through a multi-level process involving: (a) workshops and activities to transform oral knowledge into usable data and local decisions; (b) group processes to gather and select regional-level data; (c) deploying policy platforms for data synthesis and interaction with national-level policymakers. - Moreover, the report highlights principles and challenges related to integrating indigenous and traditional knowledge, technologies and methodologies that help translate oral traditional knowledge into formats compatible with adaptation – such as landscape/seascape modelling and Cybertracker technology – and the types of adaptation-related knowledge that these can contribute (e.g. how to buffer against drought, monitoring and responding to changes in plants and wildlife, and water management). This may help identify entry points for integrating this knowledge in planning, which may generate information for NAPs, ADCOMs, and other documents, While it has a regional focus on Africa, the report can be helpful for integrating indigenous and traditional knowledge in NAPs, reports, and communications in other regions.

3.9.3. Linkages and observations

85. Despite the absence of explicit inclusion of this element in other UNFCCC arrangements, this section suggests that Parties nonetheless have several entry points in existing arrangements and guidance documents to facilitate the preparation of information on gender-responsive adaptation action, as well as traditional knowledge, knowledge of indigenous peoples and local knowledge systems related to adaptation. Indeed, several countries have included this information in UNFCCC documents, which they may wish to draw upon for their ADCOMs. Moreover, as the UNFCCC gender action plan advances, Parties may find opportunities to strengthen their capacity to prepare, report, and communicate related information.

3.10. Any other information related to adaptation

86. This element provides Parties with the flexibility to include in their ADCOMs any information that they wish to highlight related to adaptation that may not fit neatly under any of the preceding elements from the annex to decision 9/CMA.1. This could include, for example, information related to:

- The process to prepare the ADCOM, including sources of information and stakeholders engaged;
- Transboundary risks and/or adaptation efforts aiming to address transboundary climate risks;
- National plans and progress on translating the global goal on adaptation into domestic action;
- Education and training initiatives for adaptation planned or undertaken;

- e) Stakeholder engagement mechanisms for planning, implementation, monitoring, and evaluation.
87. This list is non-exhaustive and non-prescriptive.

4. Concluding observations

88. [Summary of the contents of this guidance, and recommendations relating to the ADCOMs.]

Annex I: examples of national processes for the preparation of ADCOMs

Country	Link	Vehicle	Approach	Types of information/structure
Angola	Link	NDC	<ul style="list-style-type: none"> - The adaptation chapter of the NDC serves as the ADCOM; - The preparatory process involved a review of relevant documents on adaptation, including the National Strategy for Climate Change 2020-2035, NAPA, the National Development Plan 2018-2022, the Long-Term Development Strategy for Angola 2025, and associated sectoral documents in the areas of health, agrarian sector, desertification, disaster management, and fisheries; - ADCOM is organized by sector (agriculture and fisheries, coastal zone; forest, ecosystem and biodiversity; water resources, human health and infrastructure). For each sector, it describes impacts, vulnerabilities, risks, legal frameworks and adaptation actions; - Specific adaptation efforts per each sector are described in a tabular format, with one table describing unconditional, and another conditional contributions (including the sector, contributions, impact response, an costs). 	<ul style="list-style-type: none"> 5.1. Overview - Sources of information - Scope and coverage <ul style="list-style-type: none"> - Agriculture and fisheries - Coastal zone - Forests, ecosystems and biodiversity - Water resources - Human health 5.2 Adaptation contribution <ul style="list-style-type: none"> - Table: unconditional measures - Table: conditional mea
Canada	Link	NDC	<ul style="list-style-type: none"> - The ADCOM is submitted in conjunction with the NDC. It will be updated upon the completion of a National Adaptation Strategy; - The ADCOM references existing sources of information, including the 7th national communication (for information on national circumstances; impacts, risks and vulnerabilities; implementation of adaptation actions and plans). It also contains references to other relevant studies relevant to different parts of the ADCOM. 	<ul style="list-style-type: none"> - Preamble - National circumstances - Impacts, risks and vulnerabilities - Implementation of adaptation actions and plans - Support to developing countries - Contributions to other international frameworks - Gender-responsive adaptation action and indigenous climate leadership - Next steps for Adaptation Policy in Canada
Further examples TBD				

Annex II: 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: to capture only the information pertaining specifically to adaptation, square brackets are used where the original text includes information not directly relevant to adaptation. This in no way diminishes the importance of that information 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>	Identification and assessment of institutional arrangements, programmes, policies and capacities for overall coordination and leadership on adaptation;	<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;</p> <p>(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;</p> <p>(c) Legal and policy frameworks and regulations.</p>
(b) Impacts, risks and vulnerabilities, as appropriate;	<p>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 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: (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>29: [...] non-Annex I Parties should provide information on their vulnerability to the adverse effects of climate change, and on adaptation 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,</p>	<p>(b) Assessments of medium- and long-term adaptation needs, and, as appropriate, development needs and climate vulnerabilities;</p> <p>(c) Activities aimed at integrating climate change adaptation into national and subnational development and sectoral planning;</p>	<p>107. Each Party should provide the following information, as appropriate: (a) Current and projected climate trends and hazards;</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>

	<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>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>(c) National adaptation priorities, strategies, policies, plans, goals and actions;</p>	<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>(d) Domestic adaptation policies and strategies: for example, updated information on progress on adaptation policies, strategies or plans that illustrate the Party's medium-and long-term approaches to addressing risks and vulnerability through its broader domestic development and sectoral planning;</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 demonstration adaptation projects, being undertaken or proposed. [...]</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>In developing NAPs, consideration would be given to identifying specific needs, options and priorities on a country-driven basis, utilizing the services of national and, where appropriate, regional institutions, and to the effective and continued promotion of participatory and gender-sensitive approaches coordinated with sustainable development objectives, policies, plans and programmes. Activities may include the following:</p> <p>(a) Design and development of plans, policies and programmes by considering decision 1/CP.16, paragraph 14(a), to address the gaps and needs referred to in paragraph 2 above;</p> <p>(b) Assessments of medium- and long-term adaptation needs, and, as</p>	<p>108. Each Party should provide information on: (a) Domestic priorities and progress towards these;</p> <p>109. Each Party should provide the following information, as appropriate: (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; (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; (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.</p>

			appropriate, development needs and climate vulnerabilities; (c) Activities aimed at integrating climate change adaptation into national and subnational development and sectoral planning;	
(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 previous reporting periods, including, as appropriate, the following: (a) The GEF, the LDCF, the SCCF, the AF, the GCF and the UNFCCC Trust Fund for Supplementary Activities; (b) Other multilateral climate change funds; (c) Multilateral financial institutions, including regional development banks; (d) Specialized UN bodies; (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>	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 on NAP Central or other means as appropriate.</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 Mechanism, as applicable and to the extent possible: [...] (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: [...] (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) 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, 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>[...]</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>[...]</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> <p>[...]</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:</p> <p>[...]</p> <p>(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:</p> <p>[...]</p> <p>(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:</p> <p>[...]</p> <p>(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</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.

³ Table 11 is available on page 56 of document FCCC/CP/2019/13/Add.1.

				<p>development and transfer support received, including on, to the extent possible, and as available and as applicable: [...]</p> <p>(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> <p>(d) Type of support (mitigation, adaptation or cross-cutting);</p> <p>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: [...]</p> <p>(e) Type of support (mitigation, adaptation or cross-cutting);</p>
<p>(e) Implementation of adaptation actions and plans, including:</p> <p>(i) Progress and results achieved;</p> <p>(ii) Adaptation efforts of developing countries for recognition;</p> <p>(iii) Cooperation on enhancing adaptation at the national, regional and international level, as appropriate;</p> <p>(iv) Barriers, challenges and gaps related to the implementation of adaptation;</p> <p>(v) Good practices, lessons learned and information-sharing;</p> <p>(vi) Monitoring and evaluation;</p>	<p>47. Parties are encouraged to use the following structure when reporting information in this section: [...]</p> <p>(e) Monitoring and evaluation framework: for example, updated information on approaches to the monitoring and evaluation of implemented adaptation strategies or plans;</p> <p>(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</p>	<p>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.</p> <p>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.</p> <p>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.</p> <p>53: Non-Annex I Parties may [...] provide information on barriers to the implementation of adaptation measures.</p>	<p>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;</p> <p>5/CP.17, Annex, 6 (b): [...] Parties should undertake a regular review, at intervals that they determine: [...]</p> <p>(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.</p> <p>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.</p> <p>8/CP.24, 23: Invites</p>	<p>108. Each Party should provide information on: [...]</p> <p>(b) Adaptation challenges and gaps and barriers.</p> <p>110. Each Party should provide the following information, as appropriate, on progress on:</p> <p>(a) Implementation of the actions identified in chapter IV.D above;</p> <p>(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;</p> <p>(c) Implementation of adaptation actions identified in current and past adaptation communications, including efforts towards meeting adaptation needs, as appropriate;</p> <p>(d) Implementation of adaptation actions identified in the adaptation component of NDCs, as applicable;</p> <p>(e) Coordination activities and changes in regulations, policies and planning.</p> <p>111. Developing country Parties may also include information on, as appropriate, implementation of supported adaptation actions, and the effectiveness of already implemented adaptation measures.</p> <p>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> <p>113. Each Party should provide the following information, as appropriate, related to monitoring and evaluation:</p> <p>(a) Achievements, impacts, resilience, review, effectiveness and results;</p>

			<p>Parties to continue providing information on progress towards the achievement of 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>(b) Approaches and systems used, and their outputs; (c) Assessment of and indicators for: (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: (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> <p>114. Each Party should provide information related to the effectiveness and sustainability of adaptation actions, as appropriate, including on: (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> <p>116. Each Party should provide the following information, as appropriate, related to cooperation, good practices, experience and lessons learned: (a) Efforts to share information, good practices, experience and lessons learned, including as they relate to: (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; (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.</p>
(f) Adaptation actions and/or economic diversification plans, including those that result in mitigation co-benefits;				<p>109. Each Party should provide the following information, as appropriate: [...] (e) Any adaptation actions and/or economic diversification plans leading to mitigation co-benefits;</p>
(g) How adaptation actions contribute to other international			Activities carried out as part of the implementation	

frameworks and/or conventions;			strategies would take into consideration the following: (e) Considering other relevant multilateral frameworks and international programmes and initiatives, with a view to building on and complementing existing adaptation planning.	
(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.

Document information

<i>Version</i>	<i>Date</i>	<i>Description</i>
Updated revised draft	30 August 2021	AC20 The AC is invited to consider this updated interim version August 2021.
Updated revised draft	21 June 2021	Post AC19 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.
Updated revised draft	6 November 2020	AC 18 This updated revised draft (AC18/GUID/5B) was prepared for further consideration by the AC.
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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