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Agenda item 4

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

Information related to possible elements of adaptation communications identified by Parties

Note by the secretariat

Summary

This information note identifies information on each possible element identified by Parties, while considering the guidelines, where existent, for different vehicles mentioned in Article 7, paragraph 11, of the Paris Agreement. It also considers the non-exhaustive list of elements captured in the submissions from Parties and the annex to the informal summary note prepared by the co-facilitators of the consultations on agenda item 4 of the Ad Hoc Working Group on the Paris Agreement at the second part of its first session.

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I. Mandate

1. This information note has been prepared in response to the request¹ of the Ad Hoc Working Group on the Paris Agreement (APA) at the second part of its first session, held in Marrakech from 7 to 14 November 2016. The APA requested the secretariat to prepare, by 15 February 2017, an information note identifying information on each possible element identified by Parties, while considering the guidelines, where existent, for different vehicles² mentioned in Article 7, paragraph 11, of the Paris Agreement. The information note was to further consider the non-exhaustive list of elements captured in the submissions³ and the annex to the informal summary note prepared by the co-facilitators on agenda item 4.⁴

II. Structure

2. This document describes the possible elements of an adaptation communication identified by Parties during APA 1.2 (hereinafter referred to as the “elements”), identifies where existing guidelines relate to the elements, and, on the basis of the non-exhaustive list of elements captured in the submissions, elaborates possible types of information that could be relevant in the context of each element.

3. This information note has **five substantive parts**:

(a) Chapter III provides **background information on the adaptation communication** based on the provisions of the Paris Agreement and decision 1/CP.21;

(b) Chapter IV distils **the elements** from the annex to the informal summary note prepared by the co-facilitators of the consultations on agenda item 4 at APA 1.2;⁵

(c) Chapter V identifies instances where **existing guidelines** for the different vehicles mentioned in Article 7, paragraph 11, of the Paris Agreement contain provisions for communicating information that is related to the elements;

(d) Chapter VI compiles **types of information** related to the elements, based on the non-exhaustive list of elements captured in the submissions as well as on the information contained in the adaptation components of intended nationally determined contributions (INDCs) of Parties;

(e) Chapter VII suggests some **possible questions for further consideration**.

¹ FCCC/APA/2016/4, paragraph 19.

² The term “vehicles” refers to the communications or documents identified in Article 7, paragraph 11, of the Paris Agreement as options for submitting and updating the adaptation communication. That Article 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”.

³ This information note considers the submissions from Parties on further guidance in relation to the adaptation communication submitted in response to the invitation by APA 1.1. These submissions are available on the UNFCCC submission portal at <http://unfccc.int/5900>. The submissions have also been compiled in document FCCC/APA/2016/INF.2 and Add. 1 and 2.

⁴ The informal summary note is available at <http://unfccc.int/9974>.

⁵ As footnote 4 above.

III. Background information on the adaptation communications

4. The Paris Agreement and decision 1/CP.21 stipulate that adaptation communications should serve as one of the inputs to the global stocktake (see para. 5 below). The Paris Agreement also defines the overall scope and the communication and recording process for adaptation communications (see paras. 6 and 7 below).

5. In terms of its function, the adaptation communication is referred to in the context of the global stocktake, as follows:

(a) The global stocktake shall enhance the implementation of adaptation action taking into account the adaptation communication (Article 7, paragraph 14(b)⁶);

(b) Sources of input to be identified by the APA for the global stocktake include information on the state of adaptation efforts, support, experiences and priorities from, inter alia, the adaptation communications (decision 1/CP.21, paragraph 99(a)(ii)).

6. In terms of the overall scope, an adaptation communication may reflect the submitting Party's priorities, implementation and support needs, and plans and actions (Article 7, paragraph 10).

7. In terms of the communication process (i.e. submission and recording) of adaptation communications the Paris Agreement states that:

(a) Parties should, as appropriate, submit and update periodically an adaptation communication (Article 7, paragraph 10);

(b) Adaptation communications shall be submitted and updated, as appropriate, as a component of or in conjunction with other communications or documents, including a national adaptation plan (NAP), nationally determined contribution (NDC), and/or a national communication (Article 7, paragraph 11);

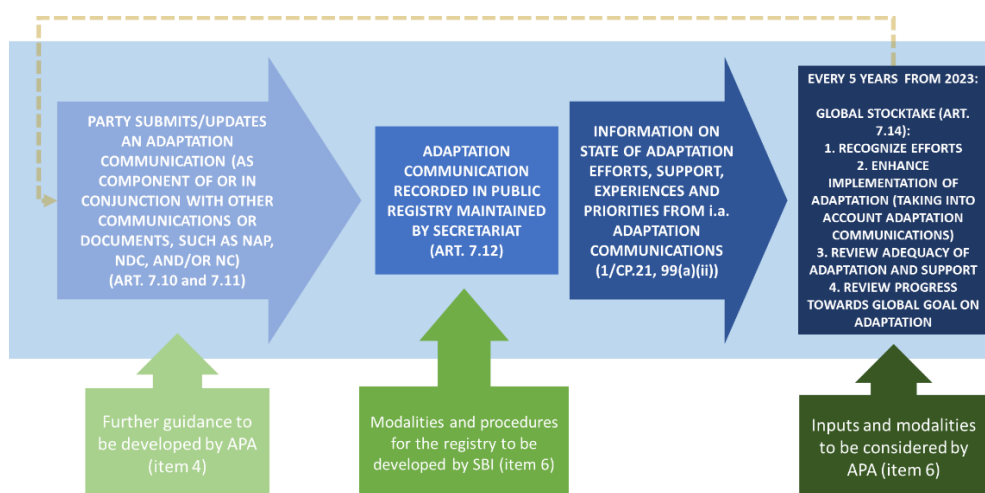
(c) The adaptation communications shall be recorded in a public registry maintained by the secretariat (Article 7, paragraph 12).

8. Furthermore, APA 1.1 launched work under agenda item 4 to develop further guidance for the adaptation communication, including, inter alia, as a component of NDCs. This includes discussing the specific purposes and elements of, communication vehicles for, and linkages and flexibilities relevant to, adaptation communications. At its forty-fourth session, the Subsidiary Body for Implementation (SBI) launched work under its agenda item 6 on designing modalities for the public registry for adaptation communications referred to in Article 7, paragraph 12.

9. The provisions outlined above define the functions, overall content, communicating vehicles, and follow-up considerations for the adaptation communication. The figure below depicts themes in the relationship between adaptation communications and the global stocktake as currently defined by the Paris Agreement and decision 1/CP.21.

⁶ Unless otherwise stated, "Article" refers to an article of the Paris Agreement.

Relationship between the adaptation communication, registry and global stocktake based on the Paris Agreement and decision 1/CP.21



Note: This figure is not intended to prejudice any future decision that Parties may take with regard to the adaptation communications or the global stocktake.

Abbreviations: APA = Ad Hoc Working Group on the Paris Agreement, NAP = national adaptation plan, NC = national communication, NDC = nationally determined contribution, SBI = Subsidiary Body for Implementation.

IV. Possible elements of adaptation communications identified by Parties

10. During the informal consultations on agenda item 4 at APA 1.2, Parties identified a non-exhaustive list of possible elements for an adaptation communication, which was captured in the annex to the informal summary note prepared by the co-facilitators on agenda item 4 with a view to providing a basis for future discussions. The **elements** listed in this chapter are derived from the information in that annex under the theme “elements”.

11. For the purposes of this document, that information has been streamlined to remove duplications and to group similar elements for clarity of presentation. Care has been taken not to lose any information and not to change context and substance.⁷

12. The streamlined non-exhaustive list contains 12 elements:

- (a) National circumstances;
- (b) Capacity, development priorities and relationship with sustainable development;
- (c) Impacts, vulnerabilities and risks (short- and long-term);
- (d) Legal and policy frameworks and institutional arrangements;
- (e) Description of decision-making processes and how and why adaptation options are prioritized;
- (f) Key economic sectors in which adaptation action takes place;

⁷ The streamlined and rearranged list of elements is not a proposal of an exhaustive or definitive list. The list does not preclude the identification of additional elements by Parties or prescribe or prejudice the content, scope, structure or context of further guidance for adaptation communications under development by the APA.

- (g) Priorities, plans and actions, and programmes and strategies (not limited to NAPs);
- (h) Adaptation efforts for their recognition, progress in implementation of adaptation efforts and clear reflection of inputs and outputs progression;
- (i) Costs of adaptation;
- (j) Implementation and support needs and adaptation needs;
- (k) Indicative level and adequacy of support provided;
- (l) Monitoring and evaluation of adaptation, process used and findings.

13. The non-exhaustive list of elements contained in the submissions is considered in chapter VI below and table 2, which draw upon the submissions and other sources to identify possible types of information that could be communicated in relation to the elements listed in this chapter.

V. Existing guidelines for communicating information on adaptation related to the elements

14. This chapter identifies instances where existing guidelines for NAPs and national communications contain provisions for communicating information on adaptation related to the elements in chapter IV above. It focuses on the guidelines adopted under the Convention for those two vehicles. Types of information relevant in the context of NDCs are considered in chapter VI below.

A. National communications

15. The Conference of the Parties (COP) has adopted the following guidelines for national communications:

(a) Guidelines for the preparation of national communications by Parties included in Annex I to the Convention, Part II: UNFCCC reporting guidelines on national communications;⁸

(b) Guidelines for the preparation of national communications from Parties not included in Annex I to the Convention.⁹

16. Table 1 identifies provisions in the guidelines for national communications that relate to the elements outlined in chapter IV above.

⁸ FCCC/CP/1999/7.

⁹ Annex to decision 17/CP.8.

Table 1

Adaptation-specific provisions in guidelines for national communications related to the elements of an adaptation communication identified by Parties during the second part of the first session of the Ad Hoc Working Group on the Paris Agreement

<i>Element</i>	<i>National communications of Annex I Parties (FCCC/CP/1999/7, section II)</i>	<i>National communications of non-Annex I Parties (annex to decision 17/CP.8)</i>
National circumstances	-	<p>Paragraph 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>Paragraph 4: Non-Annex I Parties are encouraged to provide a summary of relevant information regarding their national circumstances, as appropriate, in tabular form.</p>
Capacity, development priorities and relationship with sustainable development	-	<p>Paragraph 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>

<i>Element</i>	<i>National communications of Annex I Parties (FCCC/CP/1999/7, section II)</i>	<i>National communications of non-Annex I Parties (annex to decision 17/CP.8)</i>
Impacts, vulnerabilities and risks (short- and long-term)	<p>Paragraph 49: A national communication shall include information on the expected impacts of climate change...Parties may also report on specific results of scientific research in the field of vulnerability assessment and adaptation.</p> <p>Paragraph 63: Parties should provide, inter alia, information on highlights, innovations and significant efforts made with regard to: [...]</p> <p>(c) Research on the impacts of climate change;</p> <p>(d) Socio-economic analysis, including analysis of both the impacts of climate change and response options;</p> <p>(e) Research and development on...adaptation technologies.</p>	<p>Paragraph 29: ...non-Annex I Parties should provide information on their vulnerability to the adverse effects of climate change...</p> <p>Paragraph 30: Non-annex I Parties may use appropriate methodologies and guidelines they consider better able to reflect their national situation for assessing their vulnerability and adaptation to climate change, provided that these methodologies and guidelines are consistent, transparent, and well documented.</p> <p>Paragraph 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>Paragraph 33: Non-Annex I Parties are encouraged to include a description of approaches, methodologies and tools used, including scenarios for the assessment of impacts of, and vulnerability and adaptation to, climate change, as well as any uncertainties inherent in these methodologies.</p> <p>Paragraph 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>
Legal and policy - frameworks and institutional arrangements		<p>Paragraph 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>

<i>Element</i>	<i>National communications of Annex I Parties (FCCC/CP/1999/7, section II)</i>	<i>National communications of non-Annex I Parties (annex to decision 17/CP.8)</i>
Description of decision-making processes and how and why adaptation options are prioritized	-	Paragraph 44: Non-Annex I Parties are encouraged to provide information on research relating to...programmes containing measures to facilitate adequate adaptation to climate change...
Key economic sectors in which adaptation action takes place	Paragraph 49: ...Parties may refer, inter alia, to integrated plans for coastal zone management, water resources and agriculture....	Paragraph 35: Non-Annex I Parties are encouraged to provide information...strategies and measures for adapting to climate change, in key areas, including those which are of the highest priority.
Priorities, plans and actions Programmes and strategies (not limited to national adaptation plans)	Paragraph 49: A national communication shall include...an outline of the action taken to implement Article 4.1 (b) and (e) of the Convention with regard to adaptation....	Paragraph 26: Non-Annex I Parties may provide information on programmes containing...measures to facilitate adequate adaptation to climate change, following the provisions in these guidelines. Paragraph 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.

<i>Element</i>	<i>National communications of Annex I Parties (FCCC/CP/1999/7, section II)</i>	<i>National communications of non-Annex I Parties (annex to decision 17/CP.8)</i>
Adaptation efforts for their recognition Progress in implementation of adaptation efforts and clear reflection of inputs and outputs progression	-	<p>Paragraph 31: Non-annex I Parties are encouraged to use, for the evaluation of adaptation strategies and measures, appropriate methodologies they consider better able to reflect their national situation, provided that these methodologies are consistent, transparent and well documented.</p> <p>Paragraph 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>Paragraph 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>
Costs of adaptation	-	-
Implementation and support needs Adaptation needs	-	Paragraph 53: Non-Annex I Parties...may also provide information on barriers to the implementation of adaptation measures...

<i>Element</i>	<i>National communications of Annex I Parties (FCCC/CP/1999/7, section II)</i>	<i>National communications of non-Annex I Parties (annex to decision 17/CP.8)</i>
Indicative level and adequacy of support provided	<p>Paragraph 52 and table 5: Parties shall provide detailed information on the assistance provided for the purpose of assisting developing country Parties that are particularly vulnerable to the adverse effect of climate change in meeting the costs of adaptation to those adverse effects, in textual format and with reference to table 5.^a</p> <p>Paragraph 53 and table 5: Parties shall provide any information on any financial resources related to the implementation of the Convention provided through bilateral, regional and other multilateral channels. Parties should complete tables 4 and 5.^b</p> <p>Paragraph 55: Parties shall, where feasible, report activities related to technology transfer, including success and failure stories, using table 6 below. Parties shall also report their activities for financing access by developing countries to “hard” or “soft” environmentally sound technologies.^c</p>	<p>Paragraph 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>
Monitoring and evaluation of adaptation, process used and findings	-	<p>Paragraph 35: Non-Annex I Parties are encouraged to provide... to the extent possible, an evaluation of, strategies and measures for adaptation to climate change, in key areas, including those which are of the highest priority.</p>

^a Table 5 can be found on page 95 of document FCCC/CP/1999/7.

^b Table 5 refers to adaptation-related capacity-building, coastal zone management and other vulnerability assessments.

^c The term “transfer of technology”, as used here, encompasses practices and processes such as ‘soft’ technologies, for example capacity-building, information networks, training and research, as well as ‘hard’ technologies, for example, equipment to control, reduce or prevent anthropogenic emissions of greenhouse gases in the energy, transport, forestry, agriculture, and industry sectors, to enhance removals by sinks and to facilitate adaptation.

B. National adaptation plans

17. The process to formulate and implement NAPs was established under the Cancun Adaptation Framework.¹⁰ It enables Parties to use this process in order to identify medium- and long-term adaptation needs and develop and implement strategies and programmes that address those needs. However, NAPs are a tool for national planning of adaptation, not a communication instrument. Moreover, provisions for reporting on NAPs are being considered by the SBI under its agenda item 9. The COP has adopted by decision 5/CP.17 guidance on the types of information that could be included in national communications in relation to NAPs. This guidance:

(a) Invites Parties to provide information, through their national communications, on the measures they have undertaken and on support provided or received relevant to the NAP process (para. 32);

(b) Encourages least developed country Parties, to the extent possible, to provide information on their NAP process through their national communications, as well as other channels (para. 33);

(c) Invites United Nations organizations, multilateral, intergovernmental and other international and regional organizations to provide information on their activities to support the NAP process (para. 35);

(d) States in paragraph 6(b) of the annex that Parties should undertake a regular review, at intervals they determine, to monitor and review the efforts undertaken, and provide information in their national communications on the progress made and the effectiveness of the NAP process.

18. The elements of NAPs are outlined in the annex to decision 5/CP.17. They comprise:

(a) Laying the groundwork and addressing gaps;

(b) Preparatory elements;

(c) Implementation strategies;

(d) Reporting, monitoring and review.

C. Nationally determined contributions

19. As yet the COP has not adopted guidelines for adaptation components of NDCs. However, Parties have made extensive use of the opportunity provided by the Lima Call for Climate Action to include an adaptation component in their INDCs or to communicate their undertakings in adaptation planning.¹¹ The synthesis report on the aggregate effect of INDCs and its update¹² summarized the types of information that Parties communicated in the adaptation components of their INDCs. Some Parties have indicated that the types of information included in the adaptation components of INDCs could provide useful insights for the discussions on further guidance on adaptation communications. This information is presented in chapter VI.2.

¹⁰ Decision 1/CP.16, section II.

¹¹ See decision 1/CP.20, paragraph 12.

¹² FCCC/CP/2015/7 and FCCC/CP/2016/2 respectively.

VI. Types of information, related to the elements, reflected in the submissions and adaptation components of intended nationally determined contributions

A. Types of information reflected in the submissions

20. On the basis of the non-exhaustive list of elements captured in the submissions, table 2 provides an overview of types of information that could be related to the elements listed in chapter IV above.

Table 2

Types of information reflected in the submissions related to the elements

<i>Element</i>	<i>Types of information</i>
National circumstances	Development context for adaptation including key growth sectors
Capacity, development priorities and relationship with sustainable development	Information on adaptive capacity Relationship between adaptation actions and sustainable development, for example efforts to integrate and mainstream adaptation into national/sectoral development planning
Impacts, vulnerabilities and risks (short- and long-term)	Brief description of vulnerability assessment and expected impacts, informed by temperature scenarios Results of scientific research on vulnerabilities such as those related to water and food security Most vulnerable populations, sectors and/or geographic areas Quantitative information such as proportions of population vulnerable to drought, of agricultural sector at risk and/or of coastline vulnerable to storm surge in context of temperature scenarios Methods, tools and monitoring systems used for impact and vulnerability assessment, as well as difficulties encountered Information on loss and damage
Legal and policy frameworks and institutional arrangements	Governance systems, frameworks, strategies, programmes, and plans that provide the basis or an enabling environment for adaptation Development instruments for implementing adaptation, such as national development plans or local and sectoral plans, policies and institutions Early warning systems, information platforms and other climate services
Description of decision-making processes and how and why adaptation options are prioritized	Decision-making frameworks, indicating for example the process for prioritizing the addressing of vulnerabilities and adaptation options Cooperation at the national, regional, and international level Involvement of stakeholders in the decision-making process
Key economic sectors in which adaptation action takes place	Priority sectors, geographic areas and response options

Priorities, plans and actions	Long-term adaptation objectives or vision
Programmes and strategies (not limited to national adaptation plans)	High-level summary of national adaptation planning process and implementation strategies, including their evolution Planning objectives in the context of national development priorities Information on national and/or subnational programmes and projects Priority actions and time frames Expected outcomes, for example an outline of how plans and actions contribute to the global goal on adaptation and how they increase resilience and adaptive capacity or reduce vulnerability Actions taken to consider vulnerable groups Measures with adaptation–mitigation co-benefits
Adaptation efforts for their recognition	Detailed description of actions in the preceding five years, including types of programmes and projects and investments per sector (as proportion of gross domestic product or absolute figures)
Progress in implementation of adaptation efforts and clear reflection of inputs and outputs progression	Implemented actions in specific areas and information on progress, opportunities to scale up action and challenges Current and upcoming implementation of adaptation plans included in national adaptation plans Steps taken to improve effectiveness and durability of actions Progress on ecosystem-based adaptation and use of traditional knowledge
Costs of adaptation	Financial costs of actions delivered or in implementation
Implementation and support needs	Means of implementation Finance, technology transfer and development and capacity-building required to develop and implement adaptation actions at national and subnational levels
Adaptation needs	Quantification of the total need for adaptation support taking into account the global temperature goal and scenarios during the upcoming commitment cycle
Indicative level and adequacy of support provided	All adaptation support reported as new and additional adaptation finance, including levels and target beneficiaries of support received Developed countries report on sectors and geographic areas targeted for support, on type of support, and on types of information outlined when communicating on indicative adaptation support Domestic and international investments, sources of finance (including North–South and South–South cooperation) and private finance
Monitoring and evaluation of adaptation, process used and findings	Information on measures to ensure effectiveness of adaptation Qualitative and quantitative assessments, including process and outcome indicators Indicators to monitor and evaluate implementation of adaptation actions Methodologies to assess vulnerability reductions/resilience improvements; methods and tools applied to monitor and evaluate Monitoring and evaluation systems in place, indicators used, challenges and inclusion of adaptation in existing monitoring and evaluation systems Arrangements, organizations and/or networks for sharing information, good practices and lessons learned Evaluation of actions that involve adaptation–mitigation co-benefits or information on co-benefits of mitigation for adaptation

B. Types of information contained in the adaptation components of intended nationally determined contributions

21. In addition, as mentioned in paragraph 19 above, general types of information on adaptation as contained in the synthesis report on the aggregate effect of INDCs and its update were identified, with the important caveat that this exercise is not an attempt to define the legal status of the adaptation components of INDCs or suggest any kind of relationship between the adaptation components of INDCs, NDCs and/or adaptation communications.

22. The adaptation-related types of information that can be extracted from the synthesis report include the following:

(a) National circumstances informing adaptation (e.g. related to geography, population, political situation, and economic, development and security challenges);

(b) Impact and vulnerability assessments (e.g. observed and projected changes and impacts, socioeconomic consequences, most vulnerable sectors, zones or populations; ongoing vulnerability studies);

(c) Legal and regulatory frameworks, strategies, programmes and plans that provide a basis for, or inform, adaptation actions (e.g. climate-specific ones such as NAPs and non-climate-specific ones such as disaster risk reduction strategies);

(d) Measures or actions planned or under implementation (e.g. reflecting priority sectors and in some instances quantitative targets);

(e) Costs, losses and/or damage due to climate impacts (e.g. quantified costs and measures to reduce costs);

(f) Means of implementation (e.g. support received, support needed to achieve adaptation ambition, domestic support, international support);

(g) Cooperation, both North–South and South–South;

(h) Monitoring and evaluation (e.g. tracking progress in implementation and reduction of vulnerability, improving transparency, ensuring efficiency, use of indicators and monitoring and evaluation of support).

23. The types of information that Parties will include in their adaptation communications depends on the outcomes of negotiations (e.g. on the purpose of and flexibility in adaptation communications and whether and how Parties decide to characterize the types of information that could be included) and the decisions taken at the national level when preparing an adaptation communication. The options outlined in table 2 or in paragraph 22 above are not intended to prejudge the negotiations and are not an exhaustive list of possible types of information that could be included. They are intended to inform the negotiations by providing a summary of the possible types of information contained in the INDCs.

VII. Possible questions for future consideration

24. Based on the information presented in this note, Parties may wish to consider in future negotiations, inter alia, questions such as:

(a) Given the role of the adaptation communication as one of the inputs to the global stocktake, what types of information would be most useful to include in adaptation communications?

(b) How should the guidance in relation to the adaptation communication relate to the guidelines for the different vehicles mentioned in Article 7, paragraph 11, of the Paris Agreement?

(c) Given the importance of avoiding additional burdens on developing country Parties, how could the adaptation communication build on existing types of communication? Are there technological tools that could reduce the burden?
