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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

Parties' views regarding 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 document by the secretariat

Addendum

1. In addition to the 13 submissions contained in document FCCC/APA/2016/INF.2, 3 further submissions have been received.
2. In accordance with established practice, these submissions are attached and reproduced* in the language in which they were received and without formal editing.¹

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¹ Also available at <<http://unfccc.int/5900>>.

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** This submission is supported by Albania, Bosnia and Herzegovina, Serbia and the former Yugoslav Republic of Macedonia.

Paper no. 1: Morocco

SUBMISSION BY THE KINGDOM OF MOROCCO

(b) 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”

In the spirit of the implementation of the Paris Agreement, The Kingdom of Morocco would like to emphasize the importance of technical discussions grounded on the concrete needs of Parties in order to facilitate enhanced ambition and delivery on the ground.

In that context, as a contribution to the ongoing work on adaptation communication, the Kingdom of Morocco shares this submission that consists in a report of key elements that emerged from a technical and scientific conference hosted by the Kingdom of Morocco, on September 27th 2016 on the topic of Adaptation Metrics.

Indeed, planning, designing, implementing and reporting on adaptation ought to be supported by a set of reliable quantitative and qualitative metrics.

In order to further define these metrics, collaborative approaches involving relevant stakeholders ought to be encouraged. Such stakeholders include Parties to the UNFCCC, the Secretariat, the Adaptation Committee, international agencies, international development and financial institutions, multilateral development banks, policy makers, business leaders and industry representatives, institutional and private investors, philanthropists, civil society actors, as well as academics, researchers, scientists, climate experts, and indigenous communities.

A selection of these stakeholders took part in the Adaptation Metrics Conference in Skhirat on September 27th 2016, at the invitation of the Scientific Committee of the Steering Committee of COP 22.

Participants to the Conference outlined that developing metrics for adaptation was essential for several reasons, including:

- Enhance the appeal of adaptation projects and secure adequate funding, in particular by attracting more private finance
- Promote transparency and accountability (private investors, donors, beneficiary countries, beneficiary populations, and other key stakeholders)

- Enable reliable monitoring and tracking of adaptation climate actions
- Provide a relevant analysis grid for policy makers to plan and assess climate policies, and help countries and local actors mainstream adaptation strategies within social and economic public policies
- Facilitate better informed process of resources' allocation and an efficient “action to impact” arbitrage (comparability tools and indicators)
- Support “Climate budgeting” and NAP processes of the Parties
- Evaluate Climate Risks
- Reduce uncertainty and risks related to adaptation projects
- Lower the risk of greenwashing
- Improve the effective impact of adaptation actions

The Conference included a specific focus on financial actors as well as resilience, sectorial and Sustainable Development Goals perspectives.

I. From the financial actors

- Participants expressed that practitioners must keep a pragmatic approach and not lose sight of practicality and cost concerns.
- Some participants expressed that developing adaptation metrics was good project design.
- Participants exposed how adaptation inputs can be measured in monetary terms.
 - Participants were keen to highlight the importance of tracking adaptation finance for operational, transparency, accountability and communication reasons.
 - Participants highlighted the adoption of common principles on adaptation tracking between IDFC and MDBs. Those principles are based on a three-step approach that a project must fulfil for its financing to be reported as adaptation finance:
 - Intent to address or improve climate resilience in order to differentiate between adaptation to current and future climate change and good development;
 - Set out a context of climate vulnerability (climate data, exposure and sensitivity);
 - Link project activities to the context of climate vulnerability (e.g., socio-economic conditions and geographical location), reflecting only direct contributions to climate resilience.
 - Participants noted that projects can be made more resilient and better adapted to climate change at no additional cost.

- A participant showcased a green bond evaluation approach and how a resilience ratio to assess the resilience benefit of green bonds was developed.
- A participant also looked at how Climate Change can impact Sovereign Ratings with significant potential sovereign ratings downgrade.
- Participants noted that more work needed to be done when it comes to measuring the impacts of adaptation actions. A participant identified the following set of approaches to measure the impact of adaptation actions:
 - Project-Specific metrics that reflect the context-specific nature of adaptation. Some participants expressed that meaningful impact indicators at this scale can be challenging to define.
 - Sector-Specific metrics that are comparable and aggregable within sectors but not across sectors.
 - Across Sectors metrics:
 - Number of people made more Climate Resilient. Some participants expressed concern over the definition of Climate Resilience. Others expressed that while promising, this indicator should be focused only on directly benefitting people.
 - Value (in monetary terms) of assets made more climate resilient
 - Index-based adaptation impact metric
 - A participant outlined a set of 5 Core Indicators that are evaluated at three different points in times
 - Number of beneficiaries (direct & indirect)
 - Number of early warning systems developed
 - Assets produced, developed, improved, or strengthened
 - Increased income, or avoided decrease in income
 - Natural habitats protected or rehabilitated

II. From a resilience perspective

- A participant noted that some projects can increase resilience and adaptation capacity, in an indirect manner, through good development policies in agriculture, health, infrastructure, financial inclusion, indicating that they would contribute to reducing the number of people below the poverty line due to climate change in 2030 from more than 120 million to up to 16 million. The participant further noted that while some policies may increase asset losses, they actually increase capacity even more, and ultimately reduce well-being losses.
- A participant shared a study on impact differences between 1.5° and 2° of warming and the implications for adaptation. The participant highlighted that regional

differentiation of the global climate models is essential for adaptation and that speed and trajectory of change can determine constraints and limits to adaptation, so pathway-dependent impact analyses are needed.

- Participants expressed concerns over the likelihood of developing a single and universal metric for adaptation. They highlighted how the success adaptation was context specific.
- Approaches shared included:
 - A universal metric called the Vulnerability Reduction Credit consisting in an equation: Avoided Impact Cost (net cost: benefits from project, anticipated for project period) multiplied by an Income Equalization Factor (indicator of adaptive capacity, revised each project period) divided by a nominal, static monetary value.
 - Indexes:
 - The GCCA+ index was presented by a Participant. The objective of that index is to rank countries according to their exposure to climate change risk and their capacity to meet those risks. It is based on 4 components:
 - Natural Hazards (occurrence of climate-related and weather-driven hazards [flooding, storms, droughts, and sea-level rise])
 - Exposure (consequences for people and assets resulting from hazards)
 - Vulnerability (socio-economic, environmental factors that are likely to influence vulnerability)
 - Capacity (economic, social and environmental factors that make a country more resilient to climate change) based on adaptive capacity, coping capacity and mitigation capacity. Of particular interest in the context of adaptation metrics is the Adaptive Capacity, which are features that determine the ability of a local community to adapt including ecosystem services. Indicators used to measure that adaptive capacity or lack thereof are:
 - Life Expectancy at birth
 - Literacy rate
 - Gross National Income
 - Manufacturing as a percentage of GDP
 - ODA/DAC – Adaptation
 - Ecosystem vitality: Agriculture
 - Mangroves
 - Forest area
 - Protected Areas

- The Global Climate Risk Index
- The ND-Gain Index based on 45 indicators
 - 36 on Vulnerability (Health, Food, Ecosystem, Habitat, Water, Infrastructure)
 - 9 on Readiness (Social, Economic and Governance)
- Climate Resilient Development Index (JRC) with a selection of 32 indices:
 - Natural Hazards
 - Cumulative drought events in the last twenty years
 - Cumulative flood events in the last twenty years
 - Cumulative storm events in the last twenty years
 - Exposure
 - Population density
 - Refugees per place of residence
 - Internally displaced
 - Proportion of population in Low Elevation Coastal Zones
 - Vulnerability
 - GINI index
 - Percentage of population under poverty line
 - Age dependency ratio
 - Agriculture as a percentage of GDP
 - Forest area
 - Water dependency ratio
 - Capacity
 - Adaptive
 - Manufacturing as a percentage of GDP
 - ODA/DAC — Adaptation
 - Ecosystem vitality: Agriculture
 - Adaptive/Gender
 - Access to literacy
 - Share of female representation in the national parliament
 - Access to bank accounts
 - Coping:
 - Improved sanitation facilities
 - Hospital beds
 - Physicians
 - Nurses and midwives

III. From a Sectorial Perspective

- Several Participants insisted on the importance of data in order to develop metrics. A participant insisted on the importance of cross-feeding data.
- A participant noted that Adaptation was included in 82% of the INDCs; 61% include plans and/or strategies.
- A participant noted that Agriculture and water were the most important sectors in both INDCs and NAPAs.
- A participant indicated that 34 INDCs included quantitative adaptation targets mostly in forestry, water and agriculture.
- A participant focused on the importance of the specificities of urban vulnerabilities and the importance of urban planning.
- Participants focused on agriculture and water:
 - On water
 - Quantitative targets included in INDCs were of the following type:
 - Drinking water access
 - Desalination
 - Aquifer/catchment management
 - Irrigation
 - Water treatment
 - Water efficiency
 - Storage capacity
 - Water vulnerability
 - Organizations
 - Policies in districts
 - Water harvesting
 - On agriculture
 - Quantitative targets included in INDCs were of the following type:
 - Climate Smart Agriculture
 - Food security
 - Irrigation
 - Increase in production
 - Waste management
 - Processing
 - Land regeneration
 - Creation of pastoral zones
 - Other

- Three different types of metrics were further identified:
 - Biophysical (Crop yields, Livestock productivity, Land suitability, Land use, Water availability/Discharge, Erosion of natural resources, Deforestation/Reforestation, Biodiversity, percentage of irrigated lands, Technology trend, etc.)
 - Socio-economic (Imports, Consumption, Revenue, Migration, Prices, Self-sufficiency, Vulnerability, Nutrition, Food security, GDP, Institutional and regulatory systems, Gender equality, etc.)
 - Cross-cutting (Institutional and regulatory systems, cobenefit with mitigation, and Climate services such as information, data, weather network, decision support tools)
- An elaborate mapping of how agricultural systems are affected by Climate Change was provided by a Participant.
- A proposal was put forward to track adaptation in the agricultural sector through processes and outcomes on both the local and national levels based on Natural Resources, Agricultural Production, Socio-economic criteria, institutions and capacity, Governance and Policy environment elements.
- A participant outlined specific needs, challenges and opportunities pertaining to data for agriculture
 - Needs, as ranked by users
 - Geospatial base data
 - Meteorological data
 - Market and price data
 - Agronomic data
 - Research data
 - Hydrological data
 - Official records
 - General statistics
 - Supplier/Growers data
 - Government Policy and legislation data
 - Reference data
 - Government aid data
 - Government finance data
 - Challenges
 - Availability of data
 - Funding
 - Nomenclature integration

- Opportunities
 - Data integration
 - High Tech Data loops
 - Improved Satellite Imagery
 - Data-driven agriculture based on the following key principles:
 - Standardization
 - Consistency/Alignment
 - Transparency
 - Sustainability
 - Institutional framework
 - Innovation

IV. From a sustainable development perspective

- Participants shared the view that the implementation of the Sustainable Development Goals cannot be viewed in isolation.
- A participant shared his belief that adaptation is a learning by doing process and indicated the existence of a debate between two approaches:
 - Top down (how is funding spent in adaptation and not for development)
 - Bottom up (how resilience knowledge is enhanced and adaptive capacity increased)
- A participant identified several countries, namely Bangladesh, Kenya, Tanzania and Ethiopia, as being ahead in this process. The participant then shared his impression that scaling up on a global scale is a lot more difficult.
- A participant noted that Adaptation was increasingly mainstreamed into development assistance, increasing from 6.9% of Total ODA in 2010 to 9.5% of Total ODA in 2015.
- Several participants observed that there was an overlap in adaptation and development approaches and metrics
- A participant shared experiences from a health perspective
 - The Participant proposed a framework for indicators to support health oriented climate change indicators based on:
 - A linkage between Climate Hazard Exposure and Health Outcome
 - A vulnerability assessment based on Risk Factors and Protective Factors
 - An Adaptation Baseline based on Existing response measures and Adaptive capacity
 - The Participant then outlined some challenges, including:

- Important evidence gap in terms of measurable outcomes or adaptation indicators that systematically give an indication of the state of adaptation in practice.
 - Challenges to operationalize monitoring given the lack of a systematic approach to data collection of health adaptation interventions, strategies and approaches.
 - Difficulties to reconcile the various time scales over which health adaptation takes place with the need at the policy level to access and put in place appraisal of monitored information.
 - The Participant then shared some recommendations
 - Assess the health gains that countries can expect through implementing their Nationally Determined Contributions to the UNFCCC, and the potential for greater health gains through more ambitious action on both mitigation and adaptation.
 - Contribute to the representation of health and climate linkages within the monitoring of the Sustainable Development Goals on climate change and health, as well as the SDGs relating to other health determinants, including energy, water and sanitation, nutrition, and cities and communities.
 - Promote standardized, evidence-based monitoring of national level progress in protecting health from climate change and gaining health benefits of climate mitigation, including expanding the coverage, scope and depth of the WHO/UNFCCC climate and health country profiles.
 - Establish a global platform to share information on national level progress on health.
- Participants called to reinforce the linkages with Disaster Risk Reduction Approaches.
- A participant evoked the importance of ecosystems.
- A Participant highlighted the importance of National Adaptation Plans.
- A Participant indicated that Inter-Agency and Experts Group on SDGs Indicators has been tasked to develop an indicator framework for the goals and targets for the 2030 Agenda at the global level and to support its implementation:
 - The Participant further indicated that the Group has submitted a final report containing 241 indicators (231 unique indicators) to the UN Statistical Commission. The Group classified indicators based on three tiers:
 - Tier 1: an established methodology exists and data is widely available.

- Tier 2: an established methodology exists, but data is not readily available.
- Tier 3: an internationally agreed methodology is yet to be developed.
- The Participant then identified the following Targets and their related indicators as directly to Climate Change Adaptation:

TARGET	INDICATOR	Tier
1.5 By 2030, build the resilience of the poor and those in vulnerable situations and reduce their exposure and vulnerability to climate-related extreme events and other economic, social and environmental shocks and disasters	1.5.1 Number of deaths, missing persons and persons affected by disaster per 100,000 people	II
	1.5.2 Direct disaster economic loss in relation to global gross domestic product (GDP)	II
2.4 By 2030, ensure sustainable food production systems and implement resilient agricultural practices ... that strengthen capacity for adaptation to climate change, extreme weather, drought, flooding and other disasters	2.4.1 Proportion of agricultural area under productive and sustainable agriculture	III
11.b By 2020, substantially increase the number of cities and human settlements adopting and implementing integrated policies and plans towards inclusion, resource efficiency, mitigation and adaptation to climate change, resilience to disasters, ...	11.b.1 Proportion of local governments that adopt and implement local disaster risk reduction strategies in line with the Sendai Framework for Disaster Risk Reduction 2015–2030	III
	11.b.2 Number of countries with national and local disaster risk reduction strategies	II

V. Concluding remarks

Participants to the conference acknowledged that measuring, monitoring and evaluating adaptation presented conceptual, methodological and practical challenges such as the difficulty to define success in adaptation, the difficulty of current and near-term assessment of adaptation, the inherent tension between long term impact measuring and short term risks, and the background of climate variability. Further developments must reflect the importance of indicators that measure both process and outcomes and are sensitive to finding a balance between the need for comparability and aggregation and the need for details and contextualization.

Participants observed that depending on the target, who the information is to be provided to, the approaches could vary significantly. Indeed, balancing needs of global multilateral donors and at the national levels was identified as an important objective. Furthermore, participants noted the importance of balancing simplicity with the need for details and accuracy.

Participants reiterated the importance of monitoring mechanisms and the importance of developing sound governing processes.

Participants called for a systemic logic that will take into account territories, regions and nations. Contextualization and regional differentiation was identified as an important element in the development of adaptation metrics. Participants then observed that requirements of transparency, flexibility and comparability could indicate the need for the further development of composite indexes.

Participants acknowledged that while it is difficult to pursue universal adaptation metrics, it remains essential to implement clear approaches that can be duplicated.

Participants also noted that while developing adaptation metrics, it is crucial to ensure that adequate programs are subsequently put in place for local, regional and global capacity building. Such programs should be further enlarged to all aspects of the process of planning, designing, budgeting and delivering adaptation and climate resilience actions.

Participants also evoked the cost that would occur through inaction due to the lack of on the ground adaptation projects.

Participants concluded the proceedings by stating that while the topic remained challenging, there was a strong positive dynamic in the development of adaptation metrics.

Concept Note of the Metrics of Adaptation Conference

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- A Global Goal for Adaptation was agreed
- A periodic review of the implementation of adaptation, as part of a global stocktake that assesses collective progress towards achieving the purpose of the Paris Agreement and its long-term goals
- Adaptation was raised to the same level of focus as mitigation
- The Paris Decision outlined the need to “significantly [increase] adaptation finance from current levels” (Article 115).
- This need is real, and has recently been outlined by UNEP Deputy Director, Dr. Thiaw, during the 2016 Adaptation Futures event:

“The Adaptation Gap report clearly demonstrates that, even if we succeed in limiting temperature rise to 2 degrees, between 2020 and 2030, adapting to climate change could cost up to \$300 billion per year. Yet the amount of public finance currently available is closer to \$25 billion.”

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- The Paris Decision has also launched, in the period 2016–2020, a technical examination process on adaptation (Article 125).
- The Technical Examination Process endeavours “to identify concrete opportunities for strengthening resilience, reducing vulnerabilities and increasing the understanding and implementation of adaptation actions” (Article 126 of the Paris Decision), and will benefit from the lessons learned from the Technical Examination Process on Mitigation (Article 129 of the Paris Decision). This process is a collaboration between the Adaptation Committee (Cancun Adaptation Framework) and SBI/SBSTA (Article 127 of the Paris Decision). Non-party stakeholders are encouraged to increase their engagement in this process (Article 120 of the Paris Decision).
- Furthermore, the potential of the Global Climate Action Agenda is significant. One of the areas of focus of the GCAA is resilience. Both High-level Climate Champions have expressed their intention of showcasing innovative leadership in this matter.

Adaptation is a key priority for both the North and the South. It is an everyday reality for the most vulnerable countries. Morocco has amassed experience and lessons learned that it would like to share. In particular, in the topics of:

- Water management
- Food Security

Metrics are a key instrument to unlock the adequate levels of financing and concrete action for adaptation. However, as opposed to mitigation, quantitative indicators for adaptation have yet to be defined in a manner that is simple to monitor. The challenges are multidimensional:

- Conceptual
 - ➔ The strong interconnection between sustainable development projects and those focusing on adaptation to climate change is an added difficulty.
 - ➔ Additionally, the distinction between adaptation and loss and damage is not always clear.
- Technical
 - ➔ Adaptation to climate change impacts is strongly interconnected with development, and is part of a larger narrative that considers the climate agenda to be part of the development agenda. This does not facilitate the issue of reallocation, segregation, additionality of financial flows and their measurement. The quest for synergies is a priority for the United Nations, and in particular the President of the UNGA, the UNSG among other key actors.

Paper no. 2: Slovakia and the European Commission on behalf of the European Union and its member States

SUBMISSION BY THE SLOVAK REPUBLIC AND THE EUROPEAN COMMISSION ON BEHALF OF THE EUROPEAN UNION AND ITS MEMBER STATES

This submission is supported by Albania, Bosnia and Herzegovina, the Former Yugoslav Republic of Macedonia and Serbia.

Bratislava, 6 October 2016

Subject: 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

Introduction

1. The EU and its Member States welcome the opportunity to submit its views on further guidance in relation to the adaptation communication. The elements build on the experience gained from both the European level as well as from our collaboration with partner countries in their efforts on national adaptation planning and communication. We look forward to making significant progress in Marrakesh towards preparing the related CMA decisions. The submission presents also a set of questions that we would wish to elaborate with other Parties during the resumed session of APA-1 in Marrakesh.

The purpose of information communicated

2. The Paris Agreement has elevated adaptation to the same level and importance as mitigation and means of implementation. The concept of adaptation communication underlines the growing relevance of adaptation-related information in the global efforts for action on climate change.
3. In the EU's understanding, the adaptation communication is an overarching concept which provides a choice to Parties to decide on the most appropriate vehicle, as highlighted in Art. 7.11, to communicate their adaptation efforts, including their priorities, needs, plans and actions.
4. In the EU's view, the communication of this information is to serve several purposes, such as:
 - **Enhancing the profile of adaptation**, both domestically and internationally;
 - Providing **visibility for and recognition of each country's adaptation actions**, the efforts undertaken and the achievements to date;
 - **Facilitating cooperation and enhance our understanding of progress made and the challenges ahead** on adaptation action, including towards meeting the global goal on adaptation. We consider engagement in sharing experiences, knowledge and lessons learned to be a vital component of coordination and collaboration at the national, regional and international level, to increase our understanding and improve the effectiveness of our efforts

to adapt, as well as to support others in undertaking action. The information given in subsequent adaptation communications will also be key in helping countries and the international community to better understand the transformational process going on, and how to further advance the implementation of adaptation action;

- Informing Parties how to **prioritise, focus and continuously strengthen their collective efforts and cooperation, including support**. The information provided will support countries in their efforts to improve domestic effectiveness of adaptation action and to enhance ambition, including in those countries that are particularly vulnerable to the adverse effects of climate change. In the long term, this information will also highlight how Parties intend to address adaptation as well as helping to better focus and target support through means of implementation from a variety of sources, including public and private.
- **Enhancing linkages to other processes, in particular the Sustainable Development Goals and the Sendai Framework for Disaster Risk Reduction**. Adaptation plays a key role in all those processes mentioned, therefore sharing of information could help to create synergies, break down silo approaches, enhance coherence and links across policies but most importantly could help to avoid additional reporting burden.
- **Being considered and taken up by relevant processes and bodies under the Convention**, informing any subsequent recommendations and actions, with a view to enhancing implementation and providing recommendations for strengthening and improving effectiveness and efficiency of the Adaptation Framework.
- Being a key source of **inputs for the Global Stocktake** with the aim of building a shared understanding of the state of implementation of adaptation, the progress made, including in achieving the global goal on adaptation, and the challenges ahead.

Key principles of further guidance in relation to the adaptation communication

5. The EU considers below key principles to guide our discussions on further guidance in relation to adaptation communication:
 - **Choice of vehicle**. The EU stresses that the choice of the vehicle(s) that is/are most appropriate to communicate adaptation information is up to the discretion of every Party.
 - **No additional burden**. The choice that is enabled by Art 7.10 helps to minimise additional burden on the most vulnerable countries with the least capacities.
 - **No duplication of existing efforts**. Existing vehicles to communicate information related to adaptation action, including those mentioned in the Paris Agreement, should be used and built on.

Further guidance in relation to adaptation communication

6. The Paris Agreement already provides some guidance on the possible elements of an adaptation communication – priorities, implementation and support needs, plans and actions.

7. In addition, the Paris Agreement and its implementing decision also provide a broader outlook in respect to adaptation, with the transparency framework and the Global Stocktake as close determinants that will have a complementary role in shaping the adaptation action and communication.
8. In order to communicate information in an efficient way, Parties shall seek to elaborate on possible common elements aimed at providing common guidance across the different vehicles. While recognising the importance of flexibility for those countries with least capacities it will be important that the information communicated covers the whole bandwidth of relevant information, from planning actions to experiences and results achieved in order to ensure the usefulness of the adaptation communication for the purposes outlined above.
9. The EU considers the examples below, **which are already part of different communicating vehicles**, as possible elements aiming at providing common guidance for communicating information:
 - **Climate change impacts.** Analyses and assessment of climate change impacts, vulnerability and risks, the most vulnerable sectors or geographical zones, key climate hazards.
 - Adaptation **priorities, goals**, overall policy objectives.
 - **Planning.** Legal and regulatory frameworks, strategies, programmes and plans that provide the basis for adaptation actions or enabling environment for adaptation action; Governance systems to manage adaptation; Coordination and involvement of relevant stakeholders in the planning and implementation of adaptation.
 - **Implementation and progress made so far.** Measures or actions under implementation and implemented in specific areas or/and sectors in the short and long term, approaches to adaptation, information on progress of action/programmes/policies, including highlighting their results in increasing the resilience/reducing the vulnerability, good practices, opportunities to upscale, challenges.
 - **Means of implementation.** Robust and reliable information on: domestic and international resources invested in adaptation, support received and needed, sources of finance including North-South and South-South cooperation, private finance, funds.
 - **Monitoring and evaluation (M&E)** of adaptation. Systems in place, indicators used, challenges with the establishment of an adaptation M&E system / the inclusion of adaptation in existing M&E systems.
10. Content, depth and comprehensiveness of adaptation information will improve over time, as we will learn through successive reporting/communications.

Questions that we would wish to consider with other Parties in Marrakesh

- What other elements, in addition to those mentioned in the Paris Agreement, should the adaptation communication contain to serve its purpose?
- How can the information submitted via adaptation communications best be taken up by the process of the Global Stocktake?

- What are Parties views on the relationship between existing guidance for different communicating vehicles, further guidance in relation to the adaptation communication and the guidance developed under the transparency framework?
- How can we design the communication of relevant information through adaptation communication without creating additional burden?
- How can we ensure that discussions under APA agenda item 4 (further guidance in relation to adaptation communication) are not going to pre-empt/duplicate/be incoherent with discussions under APA agenda item 5 (modalities, procedures and guidelines for the transparency framework)?

Paper no. 3: Vanuatu

Submission by the Republic of Vanuatu
To the
Ad Hoc Working Group on the Paris Agreement UNFCCC
30 August 2016

APA FCCC/APA/2016/L.3:

According to conclusion #8 in the Draft conclusions proposed by the Co - Chairs (FCCC/APA/2016/L.3). The APA has invited Parties to submit, by 30 September 2016, their views on the following items on the APA agenda, in order to focus the work of the APA: Item 4, "Further guidance in relation to the adaptation communication, including, inter alia, as a component of nationally determined contributions, referred to in Article 7, paragraphs 10 and 11, of the Paris Agreement".

The Republic of Vanuatu *submits* that reporting on adaptation is as essential to the achievement of the overall objectives of the convention as detailed reporting on emissions reductions. The benefits of comprehensive national adaptation reporting include:

- communicating priorities to stakeholders
- evaluating progress towards national goals
- identifying existing capacity, resources and support for adaptation
- attracting international support for proposed adaptation actions and plans
- identifying and disseminating best practice in planning, implementing and funding adaptation

Vanuatu *notes with concern* that the current UNFCCC transparency framework does not require reporting of information needed to fulfil the purposes of the global stocktake (Article 7.14) which is to include adaptation-related components (including adequacy, effectiveness and support for adaptation).

Vanuatu *notes* the Paris Agreement's non-mandatory wording that Parties "should", as appropriate, submit and update an "adaptation communication" (Article 7.10).

Vanuatu *expects* that as Parties are not explicitly asked to report on adaptation effectiveness (nor provided support for objective measurement), it will be difficult to use existing reporting mechanisms to develop a robust global stocktake.

Vanuatu *notes and supports* the important principle in the Paris Agreement stressing that adaptation reporting needs to avoid creating any additional burden for developing country Parties (Article 7.10), particularly as regular reporting on adaptation is already done under the UNFCCC, including via national communications (NCs).

Vanuatu therefore proposes that achieving comprehensive global information on adaptation while minimizing reporting burdens will require:

1. Parties to report adaptation communications as part of existing reporting tools (e.g. NCs);

and to

2. Maximize, through non-prescriptive content guidance, the overlap between what is included in these reports and information needed for efficient national adaptation planning and implementation.

1. Reporting Adaptation Via Existing Reporting Tools

The Republic of Vanuatu, like many other SIDS and LDCs, is extremely limited in its financial, technical and human resource capacity to cope with the increasing impacts of climate change as well as the ability to report on these actions. The resources required to identify and collate the relevant adaptation information for national reporting purposes is currently beyond our national capacity. As an example, Vanuatu has only just released its Second National Communication (SNC) to the UNFCCC in 2016.

For this reason, Decision 1/CP.21 states that this adaptation information “shall” be submitted biennially for all countries other than Least Developed Countries (LDCs) and Small Island Developing States (SIDS) (paragraph 90). Accordingly, if analyses of adaptation adequacy and effectiveness were to be requested from Vanuatu, it would contradict the need to avoid any additional reporting burden for our developing country context.

Strongly supporting the significant flexibility provided in the Paris Agreement regarding the form, content and timing of adaptation communications, Vanuatu also notes in the decision that modalities will be developed in order to “recognize the adaptation efforts of developing country Parties”. Provided with additional support to participate in these specialized and targeted modalities, Vanuatu feels confident that it would be able to improve upon the consistency and comparability of information currently included in its reports to the UNFCCC including through its National Communications and National Adaptation Plans as well as other reporting for topical issues like Loss and Damage.

In Vanuatu’s view, the most critical modality for more comparable and consistent reporting on adaptation will be better use of monitoring and evaluation mechanisms at the national and regional levels as a means to learn from actions taken and support provided and received. For example, adaptation communications should be linked and aligned with specific international aims including the Sustainable Development Goals (SDGs) and the objectives of the Sendai Framework for Disaster Risk Reduction 2015–2030; regional policies, for example the Framework for Resilient Development in the Pacific - An Integrated Approach to Address Climate Change and Disaster Risk Management (FRDP) 2017 – 2030¹; and even national frameworks like Vanuatu’s National Sustainable Development Plan (NSDP).

New and additional support (financial and technical) should be provided to Parties in order to link existing reporting processes to comparable and robust indicators for climate change adaptation.

¹ <http://www.forumsec.org/resources/uploads/embeds/file/Annex 1 - Framework for Resilient Development in the Pacific.pdf>

2. Ensure Reporting Also Supports Efficient National Adaptation Planning and Implementation

Vanuatu has important domestic adaptation aspirations. It is therefore both practical and realistic to expect that adaptation reporting modalities will help Vanuatu to fill knowledge gaps in order to enhance domestic actions and coordination (and attract international support for its plans), as well as identify progress towards our national goals and adaptation targets.

With the new additional financial and technical support justified above, the content of adaptation communications could, while left open and flexible on specific types of information used, include at least some qualitative and quantitative assessment of the following components of adaptation action:

1. Climate impacts and vulnerability/resilience and adaptive capacity

Collecting and presenting this information is also suggested part of in NAP process, and already included in many LDC National Communications. While information on adaptive capacity is not explicitly requested in National Communications, countries are asked to report information on capacity gaps. Science information, including that collected and compiled by the IPCC will be especially relevant to reporting of this content.

2. Adaptation actions and their relative priorities

This is a critical information gap for national adaptation planning in order to balance large adaptation needs with limited resources, and effectively allocating support for adaptation at the sectoral and sub-national level. The NAP process will help Vanuatu to define nationally-relevant criteria for prioritizing implementation of adaptation.

3. Adaptation plans and processes

This information will summarize how domestic adaptation planning is evolving in a continuous, progressive and iterative process which keeps in step with Vanuatu's changing social, environmental and economic contexts. In this section, Vanuatu would be able to highlight its reforms to the Governance of climate change adaptation, specifically through the strengthening of the National Advisory Board on Climate Change & Disaster Risk Reduction (NAB)² and the National Climate Change & Disaster Risk Reduction Policy³. While not required currently, this information will provide while provide Vanuatu with an opportunity to have its planning efforts recognized and to highlight lessons learned.

4. Adaptation-related goals and monitoring and evaluation (M&E) of progress

While setting ambitious adaptation goals, Vanuatu is not yet able to effectively monitor progress. As in other SIDS and LDCs, in Vanuatu there are significant challenges in monitoring and evaluating national adaptation policy priorities, especially as our adaptation outcomes are a result multiple actions at an aggregated level (no single indicator is appropriate) nor do we have reliable "baselines" against which effects can be measured. For countries like Vanuatu, additional financial and technical support will be required to establish globally comparable and consistent M&E processes for

² www.nab.vu

³ <http://www.nab.vu/vanuatu-climate-change-and-disaster-risk-reduction-policy-2016-2030>

adaptation likely including both qualitative and quantitative assessments, including both process indicators, as well as outcome indicators.

5. Adaptation support

Currently Vanuatu is unable to report accurately on the climate adaptation support it receives, because much of these resources is channeled outside of government's official ODA channels. Technical assistance, in-kind support, and support channeled directly to Civil Society Organizations (CSOs) and other non-government organizations is often under-represented in the official figures of climate finance. Vanuatu seeks a commitment from partners that ALL adaptation support, including that which comes from modalities other than direct access or budget support, must be clearly and succinctly reported as new and additional climate adaptation finance. Provided this information, Vanuatu would be in a position to report the levels and target beneficiaries of adaptation support it receives, and also to quantify its total needs for future adaptation finance or other support.

In summary, Vanuatu submits that while it is important to maintain flexibility in adaptation-related reporting, it will be useful to provide non-prescriptive guidance on what such reporting could contain. The global stocktake agreed to in the Paris Agreement includes four adaptation-specific components. These are: recognising the adaptation efforts of developing country Parties; enhancing the implementation of "adaptation action" taking into account adaptation communications; review the adequacy and effectiveness of adaptation and support; review the overall progress in achieving the global adaptation goal. There is generally a good match between global stocktake information needs and the information that countries are already requested to report to the UNFCCC via National Communications or NAPs (although new and additional financial and technical support is required). Accordingly, the information that may be needed to satisfy national aims could also be used as input to the global stocktake; albeit with the collection of some additional information.

If this extra information needs to be reported by Parties, it could considerably increase the level of time and resources needed for adaptation reporting, which is not consistent with the agreement to avoiding additional burden for developing country Parties.

Vanuatu expects that in order to comprehensively, comparably and consistently report on adaptation efforts, it will be necessary to utilize existing reporting channels, provide non-prescriptive guidance on the content of adaptation communication as well as collect information from 3rd party sources.

Overall, Vanuatu stands ready to meet its adaptation communication obligations under the UNFCCC and Paris Agreement and thereby share with the world its outstanding adaptation actions despite its severely limited financial and technical capacities.
