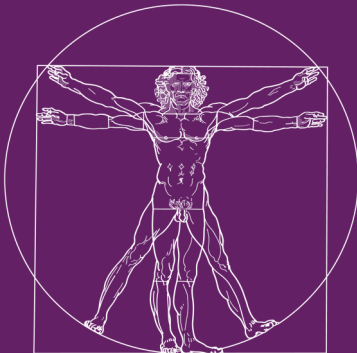


POCKET GUIDE TO ADAPTATION

UNDER THE UNECCC
POCKET
GUIDE
TO
ADAPTATION
TO
CLIMATE
CHANGE



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FOREWORD

For over a decade, the European Capacity Building Initiative (ecbi) has adopted a two-pronged strategy to create a more level playing field for developing countries in the UN Framework Convention on Climate Change (UNFCCC): training for new negotiators; and opportunities for senior negotiators from developing countries and Europe to interact, understand each other's positions, and build mutual trust.

The first part of the strategy focuses on providing training and support to new developing country negotiators, particularly from least developed countries. The climate change negotiations are often technical and complex, and difficult for new negotiators to fully grasp even over a period of two or three years. We hold regional training workshops to bring them up to speed on the negotiations. We also organise workshops before the Conference of Parties (COPs) to the UNFCCC, covering topics specific to that COP. To ensure continuity in our capacity building efforts, we offer a few negotiators, particularly women, bursaries to attend the negotiations and represent their country and region/grouping. Finally, we help negotiators build their analytical capacity through our publications, by teaming them up with global experts to author policy briefs and background papers.

This strategy has proven effective over time. “New” negotiators that trained in our early regional and pre-COP workshops have risen not only to become senior negotiators in the process, but also leaders of regional groups and of UNFCCC bodies and committees, and ministers and envoys of their countries. These individuals are still part of our growing alumni, now capacity builders themselves, aiding our efforts to train and mentor the next generation of negotiators. Their

insights from being “new” negotiators themselves have helped us improve our training programmes.

The second ecbi strategy relies on bringing senior negotiators from developing countries and from Europe together, at the annual Oxford Fellowship and Seminar and the Bonn Seminar. These meetings provide an informal space for negotiators to try to understand the concerns that drive their national positions and come up with compromises. They have played a **vital role** in resolving some difficult issues in the negotiations.

Following the adoption of the Paris Agreement in 2015, ecbi produced Guides to the Agreement in English and in French. These proved popular with both new and senior negotiators. We therefore decided to develop a series of thematic guides, to provide negotiators with a brief history of the negotiations on the topic; a ready reference to the key decisions that have already been adopted; and a brief analysis of the outstanding issues from a developing country perspective. These Guides are mainly web-based and updated regularly. Although we have printed copies of the English version of the Guides due to popular demand (**write to us** if you would like copies), the online versions have the added advantage of hyperlinks to access referred material quickly.

As the threat of climate change grows rather than diminishes, developing countries will need capable negotiators to defend their threatened populations. The Pocket Guides are a small contribution to the armoury of information that they will need to be successful. We hope they will prove useful, and that we will continue to receive your feedback.

Anju Sharma,

Head, Publications and Policy Analysis Unit, ecbi

KEY ACRONYMS

AGN	Africa Group of Negotiators
AOSIS	Alliance of Small Island States
BTRs	Biennial Transparency Reports
CGE	Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention
CMA	Conference of the Parties serving as the Meeting of the Parties to the Paris Agreement
GCF	Green Climate Fund
GEF	Global Environment Facility
GGA	Global goal on adaptation
GHGs	Greenhouse gases
IPCC	Intergovernmental Panel on Climate Change
LDCs	Least Developed Countries
LDCF	Least Developed Countries Fund
LEG	Least Developed Countries Expert Group
NAPs	National Adaptation Plan process
NAPA	National Adaptation Programme of Action
NDC	Nationally Determined Contribution
NWP	Nairobi Work Programme
SBI	Subsidiary Body for Implementation
SBSTA	Subsidiary Body for Scientific and Technological Advice
SCF	Standing Committee on Finance
SCCF	Special Climate Change Fund
SDGs	Sustainable Development Goals
SIDS	Small Island Developing States
TEP-A	Technical Examination Process on Adaptation

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WHAT IS ADAPTATION TO CLIMATE CHANGE?

Adaptation is **defined** as the process of adjustment to actual or expected climate change and its effects by the Intergovernmental Panel on Climate Change (IPCC).¹ Adaptation seeks to reduce the vulnerability of ecological, social and/or economic systems to climate change; and to minimise damage (or, in some cases, exploit benefits) associated with climate change.

► TYPES OF ADAPTATION

Distinctions are sometimes made between different types of adaptation, including, for instance:

- **Incremental adaptation:** Adaptation actions where the central aim is to maintain the essence and integrity of a system or process at a given scale.
- **Transformational adaptation:** Adaptation that changes the fundamental attributes of a system in response to climate and its effects.
- **Autonomous adaptation:** Adaptation in response to experienced climate and its effects, without planning explicitly or consciously focusing on addressing climate change (also referred to as spontaneous adaptation).
- **Community-based adaptation:** Local, community-driven adaptation that focuses on empowering and promoting the adaptive capacity of communities.
- **Ecosystem-based adaptation:** The use of biodiversity and ecosystem services as part of an overall adaptation strategy

to help ecological, social, or economic systems adapt to the adverse effects of climate change.

- **Maladaptation:** Actions that may lead to increased risk of adverse climate-related outcomes, increased vulnerability to climate change, or diminished welfare, now or in the future.

► RELATIONSHIP BETWEEN ADAPTATION AND MITIGATION

In the international negotiations under the UN Framework Convention on Climate Change (UNFCCC), which include the 1997 Kyoto Protocol and the 2015 Paris Agreement, adaptation is recognised as a strategy that is complementary to mitigation. Many climate impacts can be avoided, reduced, or delayed by the reduction of greenhouse gas (GHG) emissions. While mitigation is of critical importance to avoid further climate change, not all dangerous climate impacts can be avoided because of the GHGs already locked into the climate system. Adaptation can help deal with these unavoidable consequences, by anticipating and preventing or reducing major impacts.

There are multiple synergies and trade-offs between mitigation and adaptation. At its simplest, effective mitigation can reduce the need for adaptation: the IPCC special report on *Global Warming of 1.5°C* recently highlighted that potential climate impacts will be significantly lower if we limit global warming at 1.5°C (see Box 1). A combination of adaptation and mitigation measures can diminish the risks associated with climate change and deliver sustainable development co-benefits. Further, adaptation action can sometimes deliver “mitigation co-benefits” – for instance, effective

BOX 1: Impacts of climate change

According to the 2018 IPCC special report *Global Warming of 1.5°C*:

- There is high confidence that human activities have already caused approximately 1°C of average global warming above pre-industrial levels. Climate impacts are already being felt on land and ocean ecosystems, and the services they provide, although they are unevenly distributed across regions and countries.
- Nearly 20-40% of the world's population already live in regions that have already warmed by more than 1.5°C. The people that have been most affected live in low- and middle-income countries. Small islands, megacities, coastal regions, and high mountain ranges are also among the most affected.
- The potential impacts of global warming for natural and human systems will be significantly lower if global average temperature increase is limited to 1.5°C, compared to an increase of 2°C, even if the temperature increase is brought down to 1.5°C later in the century.

forest management policies can build resilience and deliver community and livelihood benefits, while reducing GHG emissions at the same time.

► **VULNERABILITY, ADAPTIVE CAPACITY, RISK**

Understanding the causes of vulnerability to climate change, and assessing adaptive capacity, is critical for effective adaptation. Vulnerability to climate change is *defined* as the *propensity or predisposition to be adversely affected*.² It encompasses a variety of concepts and elements, including sensitivity to harm and lack of adaptive capacity, which is the *ability of systems, institutions, humans, and other organisms to adjust to potential damage, to take advantage of opportunities, or to respond to consequences*.³

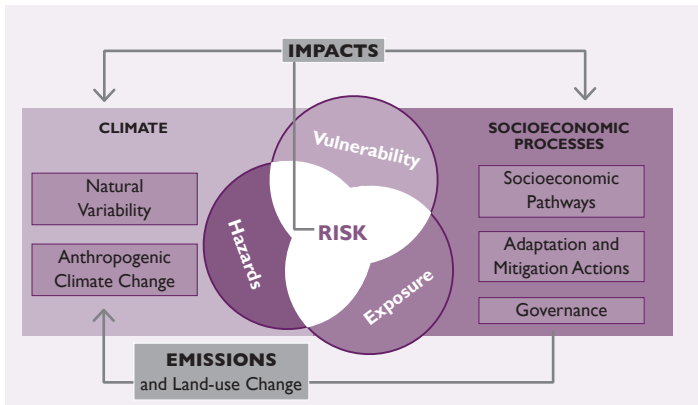
In its 2014 *Fifth Assessment Report*, the IPCC puts a particular emphasis on the concept of risk, shifting the main

focus from vulnerability only, to support comprehensive decision-making on climate change. IPCC defines a framework where risk lies at the intersection of vulnerability, hazards, and exposure (see Figure 1). The IPCC notes that people and societies may perceive or rank risks and potential benefits differently, given diverse values and goals.⁴

All socioeconomic systems are sensitive to climate change, though some are particularly vulnerable (such as food production and human health). Similarly, natural systems are vulnerable to climate change and could be irreversibly damaged on human time scales (such as glaciers and coral reefs).

The adaptive capacity of populations and countries, and therefore vulnerability, to climate change can depend on levels

Figure 1: Climate-related hazards interact with vulnerability and exposure, resulting in risk



Source: IPCC (2014). *Climate Change 2014: Impacts, Adaptation, and Vulnerability*. Cambridge University Press, Cambridge, UK and New York, USA.

of economic development: richer populations and countries can take steps to minimise the impacts of climate change that require institutional, financial, and human and technological capacities that poorer countries do not have. Ironically, therefore, it is often the countries that have contributed the least to climate change (through fossil fuel-based economic development) that are the most vulnerable to its impacts.

According to the latest IPCC special report, both developed and developing countries will suffer negative impacts from climate change. However, some will be more affected than others: regions at disproportionately higher risk to the adverse effects of climate change include Arctic ecosystems, dryland regions, Small Island Developing States (SIDS), and Least Developed Countries (LDCs).⁵ Adaptive capacity also varies considerably among socioeconomic groups within countries, with poverty, social inequality, and gender discrimination as exacerbating factors. Populations at disproportionately higher risk of adverse consequences include disadvantaged and vulnerable populations, some indigenous peoples, and local communities dependent on agricultural or coastal livelihoods.⁶

Vulnerability to climate change can also be aggravated by the presence of other stresses, such as overpopulation and unsustainable use of resources. Sustainable development can reduce contextual vulnerability to climate change, but conversely, climate change could impede the abilities of countries to achieve sustainable development pathways, resulting in vicious cycles of underdevelopment.

► ECONOMIC COSTS OF ADAPTATION

Adapting to climate change can place a high economic burden on countries. Adaptation costs incorporate the *costs of planning*,

*preparing for, facilitating, and implementing adaptation measures, including transition costs.*⁷ Future adaptation costs will not be equally distributed among countries: the LDCs and SIDS will have much higher relative adaptation needs.⁸

The costs of adaptation are emission-dependent. The UN Environment's 2016 *Adaptation Finance Gap Report* highlighted that adaptation costs increase under higher emissions scenarios. If mitigation action is delayed, more – and costlier – adaptation will be needed. Deep and early mitigation actions are therefore the best insurance against rapidly rising adaptation costs and the potential limits of adaptation.⁹

There are multiple methodological challenges in assessing adaptation costs and estimating financial needs for adaptation by sector, by country, and in aggregate. Despite major data gaps, most notably due to the exclusion of adaptation cost estimates for biodiversity and ecosystem services, better evidence is emerging. According to the 2018 *Adaptation Gap Report*, the annual costs of adaptation globally could range from US\$140 billion to US\$300 billion by 2030; and from US\$280 billion to US\$500 billion by 2050.¹⁰

► LIMITS TO ADAPTATION

Not all climate impacts can be addressed through adaptation. There is increasing understanding of “hard” and “soft” limits to adaptation action. An adaptation limit is defined as the *point at which an actor's objectives or system needs cannot be secured from intolerable risks through adaptive actions.*¹¹ A “hard” limit implies that no adaptive actions are possible – for instance, in relation to natural or physical factors that cannot be modified (such as sea level rise). A “soft” limit implies that adaptation

options are not yet available but could be available in future through new technologies or changes in laws, institutions, or values, because it mainly depends on human factors. While some hard limits can be prevented, the means to do so (financial, institutional, capacity-related etc.) are often lacking, particularly in countries that are already struggling to meet development needs.

Adaptation seems to have already reached its limits in some regions of the world, especially in LDCs and SIDS, where means and approaches to address loss and damage due to climate change are being sought for impacts that cannot be avoided through adaptation or mitigation (*for more information see the [Pocket Guide to Loss and Damage](#)*).¹²

WHY DOES ADAPTATION MATTER IN THE GLOBAL NEGOTIATIONS?

The need for adaptation arises in response to a global problem (GHG emissions) that is not caused by many of the countries that are likely to suffer its worst impacts (due to a number of reasons, including geography, resources, and capacity). The countries that hold a greater responsibility for causing climate change, therefore, have a responsibility to help those that are most vulnerable adapt to the extent possible.

This principle was recognised in the UNFCCC when it was adopted in 1992. The Convention noted that “*the largest share of historical and current global emissions of greenhouse gases has originated in developed countries*” but developing countries that are particularly vulnerable to the impacts of climate change have limited technological, economic, and institutional capacities to cope with them. The UNFCCC therefore calls on developed countries to “*assist the developing country Parties that are particularly vulnerable to the adverse effects of climate change in meeting costs of adaptation to those adverse effects*”.

Adaptation remained a secondary concern for the international negotiations for over a decade, as the focus was on mitigation. This was partly because not all developed countries viewed adaptation as a global problem. For instance, adaptation was not eligible for funding from the Global Environment Facility (GEF), the operating entity of the UNFCCC’s financial mechanism, because it required proof of “global environmental benefit”, while adaptation was considered a local problem (*see section on finance*).¹³ Perhaps it was also because adaptation was perceived to be a second-best option that fossil fuel companies preferred to GHG reductions;

and because the potential costs of adaptation were considered a difficult political conversation at the national level by many developed countries. In recent years, particularly during the negotiations for the Paris Agreement, there has been a greater understanding of the global impacts of climate change, including on trade, migration and conflict, global security, biodiversity, etc.

As the impacts of climate change became more tangible, developing countries pushed for greater emphasis on adaptation, pointing to increased domestic spending to deal with climate impacts, resulting in a diversion of scarce resources from investments in the development sector.¹⁴ They reiterated calls for increased financial support for adaptation from industrialised countries, as climate finance remained focused on mitigation.¹⁵

Adaptation finance flows have generally increased in recent years, although a major gap between adaptation finance needs and adaptation finance flows persists, and is expected to deepen in the future.¹⁶ Meanwhile, the emissions of some developing countries have grown, increasing their own share of responsibility. Furthermore, adaptation has become a major issue for developed nations too, as adverse impacts have intensified across the world.¹⁷

HOW HAS ADAPTATION EVOLVED UNDER THE UNFCCC?

The IPCC *First Assessment Report*, presented at the second World Climate Change Conference in Geneva in 1990, elaborated the role of anthropogenic emissions in global warming and sea level rise and firmly set the ball rolling towards an international convention.¹⁸

Differences between developed and developing countries were in evidence from the beginning of the global negotiations, particularly with regard to defining “responsibility” for climate action. There were also differences among developing countries, particularly between the Organization of the Petroleum Exporting Countries (OPEC), which saw the climate negotiations as a threat to their economic interests, and the Alliance of Small Island States (AOSIS), which recognised the extreme threat of climate change to small islands and demanded strong action to reduce GHG emissions.

The Convention that was eventually signed at the 1992 Earth Summit in Rio de Janeiro called on developed countries to take the lead on mitigation, and to provide support to developing countries to deal with the adverse impacts. The preamble recognises the adverse impacts of climate change as a “*common concern of humankind*”. Article 4 then requires Parties to:

- Formulate, implement, publish and regularly update national and, where appropriate, regional programmes containing measures to facilitate adequate adaptation to climate change (Article 4.1.b); and

- Cooperate in preparing for adaptation to the impacts of climate change (Article 4.1.e).

While provisions to ensure assistance from developed countries in meeting the costs of adaptation for developing countries were eventually included in the UNFCCC (Article 4.4.), the concerns of OPEC regarding loss of revenues if the use of fossil fuels was reduced were also included. UNFCCC Article 4.8 calls for “*actions related to funding, insurance and the transfer of technology, to meet the specific needs and concerns of developing country Parties arising from the adverse effects of climate change and/or the impact of the implementation of response measures,*” particularly for:

- (a) Small island countries;
- (b) Countries with low-lying coastal areas;
- (c) Countries with arid and semi-arid areas, forested areas and areas liable to forest decay;
- (d) Countries with areas prone to natural disasters;
- (e) Countries with areas liable to drought and desertification;
- (f) Countries with areas of high urban atmospheric pollution;
- (g) Countries with areas with fragile ecosystems, including mountainous ecosystems;
- (h) Countries whose economies are highly dependent on income generated from the production, processing and export, and/or on consumption of fossil fuels and associated energy-intensive products; and
- (i) Landlocked and transit countries.

The reference to “*the impact of the implementation of response measures*” in Article 4.8 (often shortened to “the impact

of response measures”) remained part of the adaptation discussion for some years to come, and was perceived by many as holding back progress on adaptation.

► 1995 BERLIN MANDATE

The first Conference of the Parties (COP1) in Berlin, in 1995, initiated negotiations for binding emissions targets under the UNFCCC through the *Berlin Mandate*.¹⁹ Despite the focus on mitigation, Parties agreed to a three-stage approach to adaptation:

- **Stage I:** Identification of particularly vulnerable areas and appropriate policy options.
- **Stage II:** Implementation of measures to prepare for adaptation.
- **Stage III:** Implementation of measures to facilitate adaptation, including insurance.

While financial support was limited to stage one, it was agreed that additional finance would be defined later, on an ad hoc basis.²⁰

► 1997 KYOTO PROTOCOL

The 1997 *Kyoto Protocol*, which defined emissions reduction targets for developed countries for the 2008-2012 period, focused mainly on mitigation. It contained only general provisions on adaptation in Article 10, calling on all countries to formulate mitigation and adaptation programmes.²¹ In a significant gesture of solidarity, Parties agreed that a “*share of the proceeds*” (later fixed at 2%) from the Clean Development Mechanism (CDM) would be used to fund adaptation activities (Article 10.8).

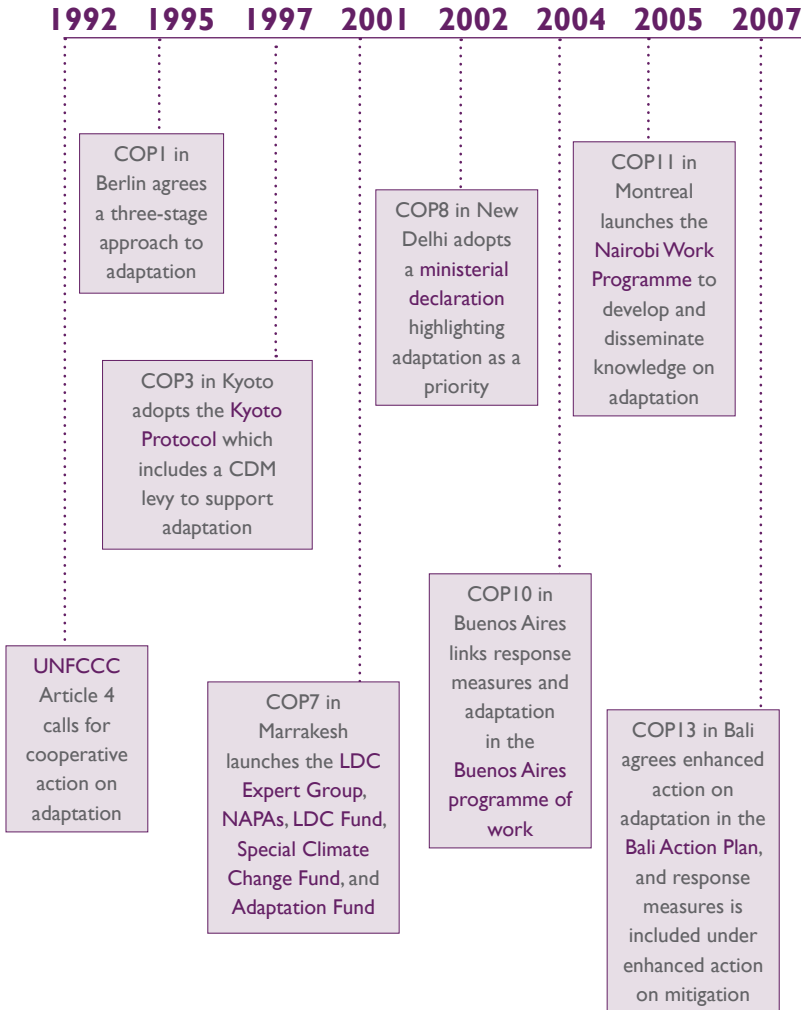
The years following COP3 in Kyoto were focused on agreeing the detailed rules of implementation for the Kyoto Protocol, and adaptation remained on the backburner. In Buenos Aires, at COP4, in 1998 it was **decided** that the GEF should provide funding to implement “Stage II” activities; and Parties should cooperate to facilitate the transfer of technologies, including for adaptation.²² At COP5, in Bonn, in 1999, attention was once again **focused** mainly on the identification of adaptation needs.

At “COP6-bis” held in Bonn, in July 2001, three new funds were **created**: the Special Climate Change Fund (SCCF) for adaptation and other climate areas in all vulnerable developing countries; the LDC Fund (LDCF) for LDCs to prepare National Adaptation Programmes of Action (NAPAs); and the Adaptation Fund, under the Kyoto Protocol, to govern the funds collected from the 2% levy on CDM.²³

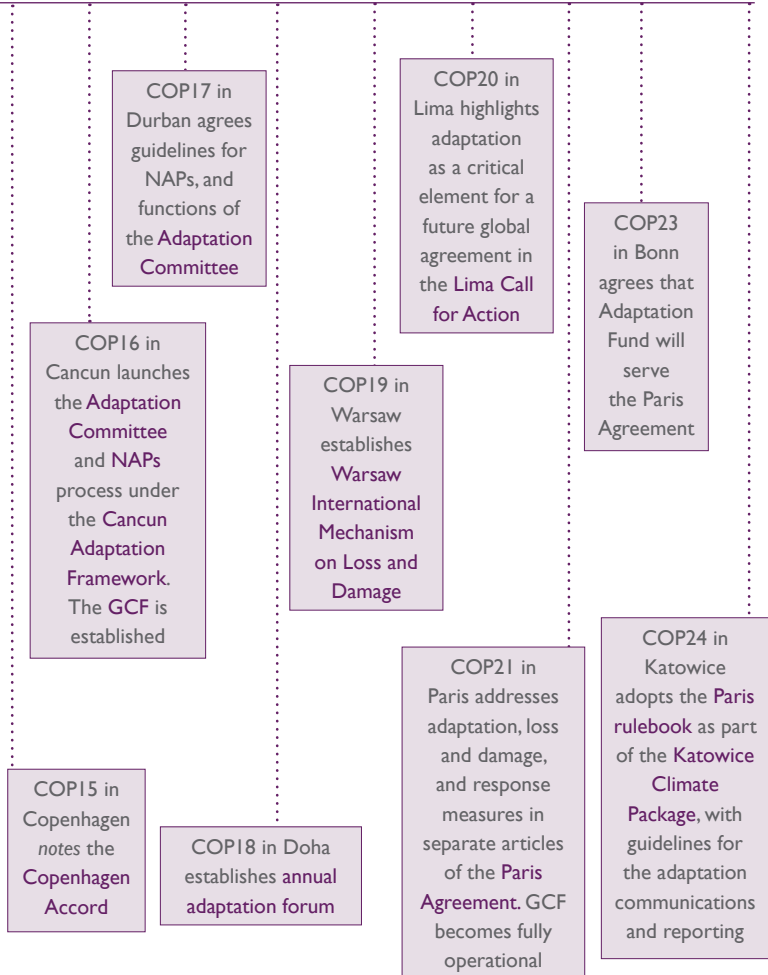
► 2001 MARRAKESH ACCORDS

The detailed rules for implementing the Kyoto Protocol were agreed under the 2001 **Marrakesh Accords** at COP7. Adaptation was also addressed in the Accords: work on adaptation was taken up under UNFCCC Articles 4.8 and 4.9,²⁴ which included the establishment of a work programme to support the LDCs in preparing and implementing **National Adaptation Programmes of Action** (NAPAs), listing their priority, short-term adaptation requirements (*see Box 2*).²⁵ An LDC Expert Group (LEG) was **established**, to guide the work on NAPAs (this mandate was later expanded).²⁶ It was also decided that the two funds created under the UNFCCC in Bonn, the SCCF and LDCF, would be managed by the GEF Council.

TIMELINE



2009 2010 2011 2012 2013 2014 2015 2017 2018



BOX 2: National Adaptation Programmes of Action

The LDCs were asked to identify their “urgent and immediate needs” in NAPAs in 2001, and the LDC Fund (LDCF) was created to address their special needs (including through NAPAs).

As of October 2018, 51 LDCs had accessed US\$ 12.2 million for NAPA preparation.²⁷ An earlier 2013 estimate, of fewer NAPAs, put the cost of implementing all the activities listed in these NAPAs at US\$ 3 billion (excluding co-financing from LDCs, and US\$ 5 billion including co-financing).²⁸ As of October 2018, US\$ 1.28 billion has been received by the LDCF through voluntary contributions from developed countries.²⁹ Meanwhile, the mandate of the LDCF was expanded in 2012, to also fund NAP preparation and implementation. Of the US\$ 1.28 billion received, US\$ 71.63 million has been disbursed for NAP processes, in addition to the US\$12.2 million for NAPA preparation. While recent figures for NAPA implementation are not available on the GEF website, US\$ 726.3 million was disbursed for NAPA projects until April 2014.³⁰

Although an additional US\$ 129 million was pledged recently at the Katowice Conference in 2018, this still falls short of the funds needed to implement the NAPA, especially given the additional NAP-related mandate of the LDCF. Some funds for NAPA implementation were also made available through other multilateral and bilateral sources, but the LDCF was expected to be the primary source of funding, with simplified access procedures to enable faster access by LDCs. Without a formal replenishment process, however, the Fund is entirely reliant on voluntary contributions. This concern was highlighted in a 2016 independent evaluation of the LDCF, which called on the GEF secretariat to explore and develop mechanisms to ensure predictable, adequate, and sustainable financing.³¹

The NAPA experience highlights a number of challenges with processes where national planning relies on global funding.³² Despite the focus on “country driven” identification of priorities, national priorities could have shifted if and when funds for implementation become available. Moreover, the listing of projects in the NAPAs was not necessarily amenable to an integrated, mainstreamed approach. The NAP process tries to address these challenges through more flexible guidelines that encourage country ownership and mainstreaming.

► 2002 DELHI DECLARATION

At COP8 in New Delhi, in 2002, the *Delhi Ministerial Declaration on Climate Change and Sustainable Development* sought to highlight adaptation as a priority. In addition, *guidelines* for developing country National Communications were adopted, calling for the inclusion of information on vulnerability and adaptation.³³ The *Consultative Group of Experts* on National Communications from Parties not included in Annex I to the Convention (CGE) subsequently produced training material on vulnerability and adaptation assessments to assist developing countries with this request.

► 2004 BUENOS AIRES PROGRAMME OF WORK ON ADAPTATION AND RESPONSE MEASURES

At COP10 in Buenos Aires, in 2004, informal negotiations on the post-2012 period, after the end of the Kyoto Protocol's first commitment period, began. Parties agreed on two new agenda items focused on adaptation and mitigation. Under adaptation, the issue of compensation for countries negatively affected by climate change was discussed, but rejected by industrialised countries on the grounds that improving knowledge on adaptation would prevent harmful impacts, and therefore there was no need for reparation.³⁴

The *Buenos Aires programme of work on adaptation and response measures* provided a basis for furthering work on adaptation, while maintaining the link between adaptation and response measures, both under the Subsidiary Body for Implementation (SBI) and the Subsidiary Body for Scientific and Technological Advice (SBSTA). This resulted in highly politicised and inconclusive debates under the Convention for a number of years.³⁵

► 2005 NAIROBI WORK PROGRAMME

The Nairobi Work Programme (NWP) on impacts, vulnerability and adaptation to climate change was established at COP11 in Montreal in 2005, and finalised at COP12 in Nairobi the following year. The NWP is established under SBSTA, to engage non-Party stakeholders, and gather and share knowledge to inform and support adaptation planning and implementation (*see Box 3*). The *Adaptation Knowledge Portal*, launched under the NWP, provides a range of tools and knowledge resources on adaptation (with some overlaps with the more recently established *NAP Central*). In addition, regular *focal point forums* are held during COP sessions since 2007, to take stock of activities undertaken by organisations and institutions on impacts, vulnerability and adaptation to climate change; and to promote dialogue between Parties and engaged organisations and institutions.

BOX 3: Nairobi Work Programme

The NWP operates through knowledge-related activities in partnership with national and regional organisations. It has been through multiple reviews that confirm its usefulness. The *latest review*, by SBSTA in 2018, encouraged NWP partner organisations to produce knowledge products on NAP processes, and facilitate and enhance national, regional and local adaptation actions.³⁶

While the NWP was the first formal set of institutional arrangements to address adaptation under the UNFCCC, it has been encouraged to improve its effectiveness by joining up efforts, most notably with the Adaptation Committee, and more recently, in light of the Paris Agreement. Another review will take place in June 2022 to assess its performance under the Agreement.

Differences on the NWP in the negotiations have mostly centred around the expansion of NWP work areas, and possible linkages between the NWP with implementation and the UNFCCC Financial Mechanism (generally opposed by developed countries).

► 2007 BALI ACTION PLAN

At COP13, held in Bali in 2007, negotiators sought agreement on a two-year process – the Bali roadmap – to finalise a post-2012 regime by December 2009. While most countries were still focused on mitigation, a change of narrative towards a general acceptance that climate change was a threat to development started to emerge, with a push for industrialised countries to maintain their commitments to fund the implementation of the NAPAs, and support enhanced action on adaptation in all developing countries.

The resulting **Bali Action Plan** encompassed five key building blocks for a future climate regime (shared vision, mitigation, adaptation, technology, and financial resources) and represented a significant level of change for the UNFCCC process.³⁷ For the first time, a long-term vision for cooperation on emissions reductions, but also for adaptation and other aspects, was agreed. The Bali Action Plan supported enhanced action on adaptation including:

- financial and capacity development support;
- risk management and reduction strategies;
- linking disaster risk reduction and adaptation measures; and
- partnerships between public, private, multilateral, and civil society organisations.

The **Adaptation Fund** was also operationalised at COP13.

► 2009 COPENHAGEN ACCORD

The post-2012 negotiations were to culminate in Copenhagen, at COP15, in 2009. However, the conference ended in failure, and the **Copenhagen Accord** (largely the result of last-minute

negotiations between heads of State) was merely “*noted*” instead of “*adopted*”.³⁸ There were a number of areas of disagreement, including whether the long-term goal of the proposed new agreement should be to keep global average temperature rise to below 2°C (which still carried risks, for instance for SIDS and other sensitive ecosystems), or 1.5°C.

The Accord recognised the importance of adaptation, and agreed that developed countries shall provide scaled-up, new and additional, predictable and adequate funding, through improved access, to developing countries. US\$ 30 billion was promised for the 2010-2012 period, with balanced allocation between adaptation and mitigation. It was agreed that “*new multilateral funding for adaptation will be delivered through effective and efficient fund arrangements, with a governance structure providing for equal representation of developed and developing countries. A significant portion of such funding should flow through the Copenhagen Green Climate Fund*”. A High-Level Panel to study the contribution of the potential sources of revenue, including alternative sources of finance, towards meeting this goal was established.³⁹

► 2010 CANCUN ADAPTATION FRAMEWORK

Elements of the Copenhagen Accord were formalised through a COP decision at the subsequent COP16 in Cancun, in 2010. The **Cancun Adaptation Framework** called for adaptation to be “*addressed with the same priority as mitigation*”, and included the following elements:

- establishment of an **Adaptation Committee** to promote implementation of enhanced action;
- establishment of a **National Adaptation Plan (NAP)** process (*see Box 4*);

- establishment of a work programme to consider approaches to address loss and damage;
- an invitation to strengthen or establish international, regional, and national institutions focused on adaptation;
- a request to developed countries to provide financial support for developing countries.

The Cancun decision also calls for *“long-term, scaled-up, predictable, new and additional finance, technology and capacity-building, consistent with relevant provisions, to implement urgent, short-, medium- and long-term adaptation actions, plans, programmes and projects at the local, national, subregional and regional levels, in and across different economic and social sectors and ecosystems”*.⁴⁰ In this context, the Green Climate Fund (GCF) was established at COP16, and formally launched in Durban the following year.

► 2011 DURBAN PLATFORM

At COP17 in Durban, in 2011, Parties **agreed** to *“launch a process to develop a protocol, another legal instrument or an agreed outcome with legal force under the Convention applicable to all Parties”*.⁴⁵ The Ad Hoc Working Group on the Durban Platform for Enhanced Action (ADP) was established for this purpose, to discuss mitigation, adaptation, finance, technology development and transfer, transparency of action and support, and capacity building.

The composition and procedural details of the Adaptation Committee, as well as the modalities and guidelines for the NAP process, were agreed in Durban. The decision on the NAP process stresses national ownership, and integration into existing national processes; and invites countries to draw

BOX 4: National Adaptation Plan process

The National Adaptation Plan (NAP) process was established under the **Cancun Adaptation Framework** at COP16 in 2010 as a continuous, progressive, and iterative process to identify medium- and long-term adaptation needs; and develop and implement strategies and programmes to address those needs. The NAP process was initially limited to LDCs to build on their experience with NAPAs, but other developing countries were **also invited** to use the NAP modalities for their adaptation planning efforts in 2011.⁴¹

The NAP process is expected to follow a country-driven, gender-sensitive, participatory, and transparent approach; and facilitate the integration of adaptation into national policies, programmes and activities. Initial **guidelines** for the formulation of NAPs were adopted at COP17.⁴² Further **technical guidelines** were developed by the LEG in 2012.⁴³ In addition, workshops and expert meetings; training activities; regional exchanges; synthesis of experiences, best practices and lessons learned; and technical papers and technical advice are provided for the NAP process. The Adaptation Committee and LEG provide technical support and advice.

The COP has provided guidance to the GEF to enable activities for the preparation of the NAP process by the LDCs through the LDCF. It has also requested the GEF, through the SCCF, to consider how to enable activities for the preparation of the NAP process for interested non-LDC developing countries. In 2015, the GCF was requested to expedite support for the formulation of NAPs and implementation of activities in developing countries. Subsequently, the GCF Board **decided** to provide financial support for the formulation of NAPs through its **Readiness and Preparatory Support Programme**.⁴⁴

Developing countries can forward their NAPs to the **NAP Central** site maintained by the secretariat. Adaptation strategies and plans of developed countries are also **available** on the site, in addition to a **calendar** of NAP related events and trainings.

on existing institutions, in particular the LEG, for technical guidance and support. The mandate of the LEG has expanded over time and also includes the NAP process.

► 2012 DOHA CLIMATE GATEWAY

The work of the ADP continued in subsequent sessions in Doha (2012), Warsaw (2013), and Lima (2014). At COP18 in Doha, the Adaptation Committee was **requested** to establish an annual adaptation forum, to maintain a high profile for adaptation, raise awareness and ambition, and facilitate enhanced coherence of adaptation actions. It was also requested to publish *The State of Adaptation under the UNFCCC* in 2013. Parties decided that an international mechanism on loss and damage would be launched at COP19.

► 2013 WARSAW INTERNATIONAL MECHANISM

The mechanism was launched the following year at COP19, as the **Warsaw International Mechanism on Loss and Damage**.⁴⁶ COP19 also extended a **call** for Parties to “*initiate or intensify domestic preparations for their intended nationally determined contributions*”, although the focus of these intended NDCs (INDCs) at this stage was on mitigation.⁴⁷

► 2014 LIMA CALL FOR ACTION

The call for INDCs was reiterated in the 2014 **Lima Call for Action**, adopted at COP20, which once again highlighted the importance of a balanced outcome for the future legal instrument, including adaptation.⁴⁸ Most of the INDCs subsequently submitted by developing countries in response to the call included an adaptation component, and many developing countries made reference to NAP processes,

Table 1: UNFCCC bodies and workstreams on adaptation

BODIES	
LDC Expert Group (established 2001)	Provide technical guidance and support to LDCs on NAPAs and NAP process (including access to GCF funds); implement LDC work programme.
Adaptation Committee (2010)	Provide technical support, guidance to Parties; share information, knowledge, experience, and good practices; promote synergy and strengthen engagement with national, regional, and international organisations, centres and networks; provide information and recommendations, drawing on adaptation good practices, for consideration by the COP; and consider information communicated by Parties on their adaptation actions, support provided, and received.
WORKSTREAMS	
NAPAs (2001)	Identify urgent and immediate adaptation needs of LDCs.
Nairobi Work Programme (2005)	Facilitate and catalyse development, dissemination, and use of knowledge to inform and support adaptation policies and practices.
NAP process (2010)	Continuous, progressive, and iterative process to identify medium- and long-term adaptation needs and implement strategies and programmes.
Technical Examination Process on Adaptation (2015)	Technical expert meetings, papers and other events during 2016-2020, to identify concrete opportunities to strengthen resilience, reduce vulnerabilities, and increase understanding and implementation of adaptation actions.
Adaptation Communications (2015)	Communicate adaptation priorities, implementation and support needs, plans and actions.
Adaptation Registry (2015)	Record of adaptation communications maintained by the UNFCCC secretariat.
Adaptation section in BTRs (2015)	Communicate information related to climate impacts and adaptation to facilitate, inter alia, recognition of adaptation efforts of developing countries.

highlighting the importance of adaptation for developing countries (*for more information see the Pocket Guide to NDCs*).⁴⁹

The elements of a *draft negotiating text* that emerged from COP20 in Lima indicated the key areas of differences on adaptation between Parties, including: establishing a global goal for adaptation; articulating the link between mitigation and adaptation action (to indicate that more of one would mean less of the other, and vice versa); enhancement of, and specific targets for, adaptation finance from developed countries; recognition of the adaptation efforts of developing countries; communication of adaptation needs and actions in NDCs; reporting of financial contributions for adaptation; and new institutional arrangements (including suggestions for a subsidiary body for implementation, an adaptation registry, and a technical and knowledge platform).

The separation of loss and damage from adaptation (favoured by developing countries) also became a key area of contention in the run-up to Paris.

ADAPTATION IN THE PARIS AGREEMENT AND RULEBOOK

Nine years after Parties first started work on the successor to the Kyoto Protocol's first commitment period, the *Paris Agreement* was adopted on 12 December 2015. The Agreement establishes the legal foundation of the international climate regime from 2020 onwards (*for more information see the Pocket Guide to the Paris Agreement*).⁵¹

An overall goal of the Paris Agreement is to hold the increase in global average temperature to well below 2°C above pre-industrial levels, while pursuing efforts to limit the temperature increase to 1.5°C above pre-industrial levels and recognising that this would significantly reduce the risks and impacts of climate change. However, the current pledges of countries in their NDCs are *not on track* to even keep the temperature rise within 2°C.⁵²

The Agreement also aims to increase the ability of Parties to adapt to the adverse impacts of climate change and foster climate resilience and low GHG emissions development, in a manner that does not threaten food production; and make finance flows consistent with a pathway towards low GHG emissions and climate-resilient development.

The rules for implementing the Agreement were discussed under the Ad Hoc Working Group on the Paris Agreement (APA), in *seven sessions* that took place between 2016-2018, including during the Marrakesh (2016), Bonn (2017), and Katowice (2018) COPs. The “Paris rulebook” was adopted as part of the *Katowice Climate Package*. Although a number of compromises had to be made to reach consensus on

the Agreement and rulebook, the outcome nominally put adaptation on par with mitigation.⁵³ The Agreement and rulebook contain separate sections on adaptation, but it could be argued that they lack the granularity and specificity of the rules for mitigation. The focus is still very much on “take it or leave it” guidance on reporting; seeking metrics to assess adaptation action; timidly considering ways to facilitate support; and “urging” support from developed countries for particularly vulnerable developing countries.⁵⁴

This section summarises the elements related to adaptation in Article 7 of the Paris Agreement and the rulebook agreed in Katowice. (Loss and damage is dealt with separately under Article 8 of the Paris Agreement – *for more information, see the Pocket Guide to Loss and Damage*).⁵⁵

► ARTICLE 7.1: GLOBAL GOAL ON ADAPTATION

Article 7.1 establishes a global goal on adaptation (GGA), “to enhance adaptive capacity, strengthen resilience and reduce vulnerability to climate change, with a view to contribute to sustainable development and ensure an adequate adaptation response in the context of the 2°C temperature goal”.

The adaptation goal was proposed by the African Group of Negotiators (AGN), and in the original proposal, it encompassed qualitative and quantitative dimensions to “close the adaptation gap”.⁵⁶ In the Paris Agreement, however, it is aspirational in nature, delineating adaptation as a global responsibility but without concrete targets or metrics. Nevertheless, the Paris Agreement and rulebook provide the means for each country to communicate their adaptation priorities, implementation, and support needs. This information will be considered as a whole through both

the transparency and global stocktake processes, and it should contribute to measuring progress on the GGA.⁵⁷

► ARTICLE 7.2: GLOBAL CHALLENGE

Article 7.2 recognises adaptation as a global challenge and takes into account the “*urgent and immediate needs of those developing country Parties that are particularly vulnerable*” to climate change. This is arguably a major step forward from the earlier reluctance to acknowledge adaptation as a global challenge.

► ARTICLE 7.3: RECOGNITION OF EFFORTS

Article 7.3 states that the “*adaptation efforts of developing country Parties shall be recognised*” in accordance with the modalities agreed in the rulebook. This provision was introduced to ensure that the adaptation actions supported through domestic resources or South-South cooperation in developing countries are recognised. This information could be relevant for the recognition and/or assessment of adequacy of adaptation support; and as part of the global stocktake to determine the contribution of developing countries to the collective effort on climate action.⁵⁸

In Katowice, it was subsequently agreed that the synthesis report prepared by the secretariat for the global stocktake will include information on the adaptation efforts of developing countries (including an assessment of support needs for adaptation). The information will be drawn from “*the most recent documents that may contain adaptation information*”, which could include adaptation communications, NAPs, National Communications, NDCs, BTRs, and reports of the IPCC and other relevant scientific bodies.⁵⁹ The information

in the synthesis report will be taken into account in the global stocktake. Furthermore, the secretariat, under the guidance of the Adaptation Committee and the LEG, will prepare synthesis reports on specific adaptation themes every two years starting in 2020, focusing on relevant lessons learned and good practices in developing countries.

► **ARTICLE 7.4: ADAPTATION AND MITIGATION LINK**

Article 7.4 recognises that the current need for adaptation is significant, and enhanced ambition on mitigation can reduce the need for additional adaptation efforts. It also recognises that increased adaptation needs can involve higher costs.

► **ARTICLE 7.5: INCLUSIVE APPROACH**

Article 7.5 calls for adaptation action to: follow a country-driven, gender-responsive, participatory and fully transparent approach; take into consideration vulnerable groups, communities and ecosystems; be based on, and guided by, the best available science and, as appropriate, traditional knowledge, knowledge of indigenous peoples and local knowledge systems; and integrate adaptation into relevant socioeconomic and environmental policies and actions, where appropriate.

► **ARTICLES 7.6, 7.7 & 7.8: SUPPORT AND INTERNATIONAL COOPERATION**

Article 7.6 recognises the importance of support for, and international cooperation on, adaptation efforts; and the importance of taking into account the needs of developing countries, especially those that are particularly vulnerable to the adverse effects of climate change.

Article 7.7 further elaborates on areas for collaboration, including sharing information, good practices, experiences and lessons learned; strengthening institutional arrangements; strengthening scientific knowledge; assisting developing countries in identifying effective adaptation practices, needs, priorities, support provided and received for adaptation actions and efforts, and challenges and gaps; and improving the effectiveness and durability of adaptation actions. UN organisations and agencies are encouraged to support countries in this regard, in Article 7.8.

► **ARTICLE 7.9: ADAPTATION PLANNING**

Article 7.9 calls on each Party to engage in adaptation planning processes and the implementation of actions. This is the only legally binding element for all Parties on adaptation in the Agreement. It includes: implementation of adaptation actions, undertakings and/or efforts; formulating and implementing NAPs; assessing climate impacts and vulnerability; monitoring, evaluation and learning from adaptation activities; and building the resilience of socioeconomic and ecological systems through economic diversification and sustainable management of natural resources.

► **ARTICLES 7.10 & 7.11: ADAPTATION COMMUNICATIONS**

According to Article 7.10, 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*”. The use of “*should, as appropriate*” makes the submission of such communications

non-mandatory but advisable, and flexibility is provided for the timing and frequency of these communications.

Article 7.11 states 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 ..., and/or a national communication”*. Countries therefore also have flexibility with regard to the vehicle to be used for the adaptation communications. The rulebook agreed in Katowice *reiterates* the flexibility to include adaptation communications in NDCs, National Communications, or NAP documents, taking into account the guidelines (where they exist) for these documents.⁶⁰ It also calls for supplementary guidance to be drafted by the Adaptation Committee, together with IPCC Working Group II, by June 2022, for consideration by the Subsidiary Bodies in November 2022. This guidance can be revised in 2025, following Party submissions and the experience with the global stocktake in 2023.

At Katowice, it was also agreed that the purpose of the adaptation communications is to:

- increase the visibility and profile of adaptation and its balance with mitigation;
- strengthen action and support for developing countries;
- provide input to the global stocktake; and
- enhance learning and understanding of adaptation needs and actions.

The rulebook also provides flexibility with regard to providing ex post information, such as information on: progress and results achieved; adaptation efforts of developing

countries for recognition; cooperation on enhancing adaptation; barriers, challenges and gaps; good practices, lessons learned and information sharing; and monitoring and evaluation. While such ex post information on adaptation may be more pertinent to the transparency framework to evaluate progress in implementation, ex ante information is of particular relevance to strengthen collaboration and assess future progress (and gaps) towards the GGA.⁶¹

It was also agreed in Katowice that the adaptation communications and adaptation segments in the BTRs cannot be considered as a basis for comparisons between Parties and are not subject to a review, thus reassuring developing countries concerned about creeping international scrutiny of national adaptation actions.

► **ARTICLE 7.12: PUBLIC REGISTRY**

Article 7.12 calls for the adaptation communications submitted by Parties to be recorded in a public registry maintained by the secretariat. It was agreed that a prototype prepared by the secretariat will serve as the public registry, following any necessary revisions, subject to agreement by the second Conference of the Parties serving as the meeting of the Parties to the Paris Agreement (CMA2) in December 2019. It will consist of a registry portal with two parts, one for NDCs and another for adaptation communications.⁶²

► **ARTICLE 7.13: ENHANCED SUPPORT**

Article 7.13 calls for continuous and enhanced international support for developing countries, for strengthening cooperation; engaging in adaptation planning; and submitting and updating adaptation communications, in accordance

with the provisions of Articles 9 (finance), 10 (technology development and transfer), and 11 (capacity building).

In Katowice, it was **agreed** that the Adaptation Committee, in collaboration with the LEG, NWP partner organisations, and users and developers of relevant methodologies, including academia and the private sector, will develop and regularly update an inventory of relevant methodologies to assess adaptation needs related to action, finance, capacity building, and technological support by June 2020.⁶³ The Adaptation Committee, with the IPCC, will then prepare a technical paper on methodologies to assess adaptation needs and their application, related gaps, good practices, lessons learned, and guidelines, for consideration and further guidance by SBSTA57 in November 2022. The **Paris Committee on Capacity Building (PCCB)** is also invited to facilitate access to, and implementation of, methodologies for assessing adaptation needs in the context of providing support for building adaptation capacity.

► **ARTICLE 7.14: ADAPTATION IN THE GLOBAL STOCKTAKE**

Article 7.14 calls on the global stocktake process (under Article 14, taking place every five years from 2023 onwards) to: recognise the adaptation efforts of developing countries; enhance the implementation of adaptation action taking into account the adaptation communications; review the adequacy and effectiveness of adaptation and support provided for adaptation; and review overall progress towards the GGA. In Katowice, it was **decided** that the inputs to the global stocktake will include the state of adaptation efforts, support, experiences, and priorities; in addition to good practices, experience, and

potential opportunities to enhance international cooperation on adaptation.

► **ARTICLE 13: ADAPTATION AND TRANSPARENCY**

The enhanced transparency framework of the Paris Agreement, defined in Article 13, aims to provide a clear understanding of climate change action and support in light of UNFCCC objectives, including adaptation actions, good practices, priorities, needs, and gaps under Article 7, to inform the global stocktake (*for more information, see the Pocket Guide on Transparency*).⁶⁴ The transparency framework, through the global stocktake process, should ultimately allow for a collective assessment of adaptation efforts in relation to the GGA.

At COP24, it was agreed that all countries should submit Biennial Transparency Reports (BTRs), which include information on climate impacts and adaptation.⁶⁵ The modalities, procedures, and guidelines for the BTRs reflect the voluntary nature of such requirements and are generally consistent with the guidance for adaptation communications under Article 7, although there are some differences (*see Table 2*). For instance, information on loss and damage is only explicitly considered for inclusion in BTRs. It should be noted, however, that there is scope for including loss and damage in adaptation communications, in the context of information related to impacts, risks, and vulnerabilities.

For those Parties with dual reporting obligations under the Convention and the Paris Agreement, National Communications, adaptation communications, and BTRs may be submitted as a single report in the years when the National Communications are due (every four years). Parties are expected to submit their first BTRs by 31 December 2024.

Table 2: Information for adaptation communications and BTRs	
Adaptation Communications (Article 7)	Biennial Transparency Reports (Article 13)
<ul style="list-style-type: none"> ■ National circumstances, institutional arrangements, and legal frameworks. ■ Impacts, risks, and vulnerabilities. ■ Adaptation priorities, strategies, policies, plans, goals, and actions. ■ Implementation and support needs of, and provision of support to, developing countries. ■ Implementation of adaptation actions and plans. ■ Adaptation actions and/or economic diversification plans, including those that result in mitigation co-benefits. ■ How adaptation actions contribute to other international frameworks and/or conventions. ■ Gender-responsive adaptation action and traditional knowledge, knowledge of Indigenous Peoples, and local knowledge systems related to adaptation. 	<ul style="list-style-type: none"> ■ National circumstances, institutional arrangements and legal frameworks. ■ Impacts, risks, and vulnerabilities. ■ Adaptation priorities and barriers. ■ Adaptation strategies, policies, plans, goals, and actions to integrate adaptation into national policies and strategies. ■ Progress on implementation of adaptation. ■ Monitoring and evaluation of adaptation actions and processes. ■ Information related to averting, minimising, and addressing loss and damage associated with climate change impacts. ■ Cooperation, good practices, experiences, and lessons learned.

Meanwhile, to avoid duplication between the existing system under the UNFCCC for monitoring, reporting, and verification, and the new transparency framework, the rulebook calls on Parties that do not use the new modalities and procedures for their next submission to include an additional chapter on adaptation, in accordance with the current relevant guidelines for National Communications.

► INSTITUTIONAL ARRANGEMENTS

The Paris [Decision 1/CP.21](#) also contains provisions on the review of adaptation-related institutional arrangements under the UNFCCC. At COP24, it was decided that the Adaptation Committee and the LEG shall serve the Paris Agreement. The [CGE](#) and the LEG are invited to continue to work together on adaptation-related training, including vulnerability assessments. Institutional arrangements related to finance, technology development and transfer, and capacity-building are encouraged to make every effort to achieve a balance between adaptation and mitigation. The Adaptation Committee will continue making recommendations on ways to enhance collaboration and promote coherence and synergies among adaptation-related institutions.⁶⁸

► TEP-A

In addition to post-2020 action, the Paris [Decision 1/CP.21](#) considers enhanced pre-2020 action. It calls for a [technical examination process on adaptation \(TEP-A\)](#) to be organised by SBI/SBSTA and conducted by the Adaptation Committee between 2016-2020, to identify concrete opportunities for strengthening resilience, reducing vulnerabilities, and increasing the understanding and implementation of

adaptation actions. The TEP-A, held in conjunction with the COP until 2020, comprises annual technical expert meetings (TEMs), an annual technical paper, and an annual summary for policy makers. Four TEMs have taken place so far (two were held in 2016), focusing on different themes. Some Parties feel that the TEP-A process should be better connected to the formal negotiating process.⁶⁹ Following an [assessment](#), COP23 urged Parties to focus the TEPs on specific policy options and opportunities for enhancing mitigation and adaptation that are actionable in the short term, including those with sustainable development co-benefits.

ADAPTATION FINANCE

From the outset of the climate negotiations, finance has been a critical but contentious issue, with disagreements between developed and developing countries on institutional arrangements for managing climate finance (including its governance); and the amount of funding made available (including commitments, sources, accounting, balancing mitigation and adaptation finance, adequacy, predictability, additionality, etc.).

► INSTITUTIONAL ARRANGEMENTS AND GOVERNANCE

When the UNFCCC was adopted in 1992, many developing countries advocated for a financing mechanism under the authority of the COP, with equal decision-making powers amongst all countries, and funding through obligatory contributions. In the end, however, the Global Environment Facility (GEF) was named as the operating entity of the UNFCCC Financial Mechanism (initially on an interim basis) despite developing country concerns that its governance structure was tilted in favour of the biggest contributors.

The GEF, which started as a pilot facility in 1990, was based on voluntary contributions, and had a governance structure

based on a hybrid of the World Bank voting model (one-dollar-one-vote) and the UN voting model (one-country-one-vote).⁷⁰ It had its own Governing Council and Assembly, and was not under the direct authority of UNFCCC as developing countries would have liked.

Developing countries found it difficult to access GEF funds, as it had complicated criteria to ensure that the funds were used only for “global environmental benefit”, and complex methodologies for working out the “**incremental cost**” of such global benefits.⁷¹ Moreover, adaptation was viewed as a national challenge, and did not qualify for GEF funding. (It was not until 2004 that the GEF received a one-time contribution of US\$ 50 million for a **Strategic Priority on Adaptation** to run until 2010, for a programme to reduce vulnerability and increase resilience to the adverse effects of climate change. After this programme ended, adaptation is addressed only as a cross-cutting issue for its thematic areas – see *Table 3*). In the years that followed the adoption of the UNFCCC, a fairly predictable pattern developed in the negotiations, where developing countries would raise concerns about the difficulties in accessing funding from the GEF, and the COP would send guidance to the GEF to address these difficulties.

LDC FUND AND SPECIAL CLIMATE CHANGE FUND

It took a severe crisis in the negotiations – the near collapse of the multilateral process at **COP6 in The Hague** in 2000 – to provide the stimulus for two new climate funds focusing on adaptation to be created. Following a decision at COP6-bis, organised in the middle of 2001 in Bonn to revive the negotiations, the two new funds were established at COP7 in

Table 3. Adaptation-related funds under the UNFCCC			
Fund	Mandate	Focus areas	Beneficiaries
Global Environment Facility	Ensure investments and partnerships produce maximum environmental benefits.	Adaptation is a cross-cutting theme for the six GEF focus areas.	All developing countries.
Adaptation Fund	Support concrete adaptation activities.	Adaptation.	All developing countries.
LDC Fund	Preparing and implementing NAPAs and NAPs.	Adaptation.	LDCs.
Special Climate Change Fund	Supporting adaptation and technology transfer projects (including non-LDC NAPs).	Adaptation, technology transfer, mitigation, economic diversification.	Developing countries, with priority for most vulnerable countries in Africa, Asia, and SIDS.
Green Climate Fund	Promote a paradigm shift towards low-emission and climate-resilient development pathways; support implementation of the Paris Agreement.	Balanced allocation between adaptation and mitigation.	Developing countries, with priority for LDCs, SIDS and African States.

Marrakesh later the same year: the LDC Fund, focusing on the special needs of the LDCs (as discussed earlier); and the Special Climate Change Fund (SCCF), open to all vulnerable developing countries. Despite objections from developing countries, the GEF was entrusted with managing both these funds.

The LDC Fund was created to prioritise the needs of the LDCs, at first specifically for the NAPAs and later for the NAP process as well. In addition to a shortage of actual funds to achieve these objectives (described in *Box 2*), LDCs once again found reason to **raise issues** with complicated institutional arrangements that gave them little say on how the funds are managed; and complicated procedures for accessing grants, including co-financing requirements and the time taken to get project proposals approved.⁷²

ADAPTATION FUND

Also in Marrakesh in 2001, the Adaptation Fund was created under the Kyoto Protocol, to manage the disbursement of the 2% CDM levy (*see section on the 1997 Kyoto Protocol*). In this case, developing countries were able to resist pressure to entrust this Fund to the GEF. The **Adaptation Fund Board** was created in Bali, in 2007, with a majority of the 16 board members representing developing countries. Unlike the GEF, the Adaptation Fund Board would report directly to the Conference of the Parties serving as the Meeting of the Parties to the Kyoto Protocol (CMP).

The Adaptation Fund Board was quick to seek solutions for some of the problems faced by developing countries in accessing global climate finance. It operationalised “**direct access**” – an access modality through which accredited

“national implementing entities” (NIEs) can access funds directly, without needing an international entity (a requirement for GEF, and the LDCF and SCCF). This new modality sought to improve country ownership of adaptation projects and build the capacity of national institutions to access and manage adaptation finance.

While initial challenges in building sufficient national capacity to access funds via NIEs were to be expected, the governance and access modalities of the Fund, and its innovation and transparency, have given it “substantial legitimacy” with developing country governments and NGOs.⁷³ However, the Fund faced a resource shortage when the price of carbon plummeted, and the share of proceeds from the CDM began to dry up. It has since been mainly reliant on voluntary contributions.

The recent decision that the Adaptation Fund will also serve the Paris Agreement (not just the Kyoto Protocol) have renewed hope that the share of proceeds from the cooperative mechanisms under Article 6 of the Paris Agreement will provide a more reliable source of income to the Fund. This is not yet certain: the rules for the cooperative mechanisms could not be agreed in Katowice; and it is *not clear* whether the mechanisms, when they are operational, will result in a significant share of proceeds.⁷⁴

GREEN CLIMATE FUND

This new fund was also created when the global climate negotiations were facing a crisis – the Green Climate Fund (GCF) emerged from the wreckage of the 2009 Copenhagen conference. It was *formally established* in Cancun in the following year as an operating entity of the UNFCCC, where

it was agreed that “...a significant share of new multilateral funding for adaptation should flow through the Green Climate Fund...”. The Fund would be governed by 24 board members, comprising an equal number of members from developing and developed countries.⁷⁵

The **Governing Instrument** of the GCF, approved in Durban in 2011, laid out that the Fund will “...provide simplified and improved access to funding, including direct access...”. Moreover, “The Board will consider additional modalities that further enhance direct access, including through funding entities with a view to enhancing country ownership of projects and programmes”.⁷⁶ A pilot phase for the “Enhanced Direct Access” (EDA) modality, that aims to ensure sub-national devolution of climate finance through a programmatic approach, was subsequently **launched** in 2016.

The Governing Instrument also lays out that the Fund will have thematic windows for adaptation and mitigation; and the Board “...will balance the allocation of resources between adaptation and mitigation activities under the Fund...”. It will also take into account “...the urgent and immediate needs of developing countries that are particularly vulnerable to the adverse effects of climate change, including LDCs, SIDS and African States, using minimum allocation floors for these countries as appropriate”.

INSTITUTIONAL ARRANGEMENTS UNDER THE PARIS AGREEMENT AND RULEBOOK

Under the Paris Agreement, it was decided that the GCF, GEF, LDCE, and SCCF will serve the Agreement (Article 9.8 and paragraph 58 of **Decision 1/CP.21**). The future of the Adaptation Fund was less certain – the Paris Agreement only

stated that the Adaptation Fund *may* serve the Agreement. This was subsequently resolved, and in Katowice it was **agreed** that the Adaptation Fund *shall* serve the Agreement from January 2019, subject to a decision by the CMP. The rules of procedure of the Adaptation Fund Board will be reviewed in this light.⁷⁷

The Katowice decision further **confirms** that the LDCF and SCCF will serve the Paris Agreement, and requests the Standing Committee on Finance (SCF) to draft guidance in this regard, for consideration and adoption by CMA2 in 2019.⁷⁸

The Paris Agreement also calls on the institutions serving the Agreement to aim to ensure efficient access to financial resources through simplified approval procedures and enhanced readiness support, in particular for LDCs and SIDS (Article 9.9).

► COUNTING ADAPTATION FINANCE

The UNFCCC includes the following elements related to adaptation finance:

- Article 4.3 calls on developed countries to “...*provide such financial resources, including for the transfer of technology, needed by the developing country Parties to meet the agreed full incremental costs*” of implementing measures (including preparing for adaptation) listed in Article 4.1. It further states that “*the implementation of these commitments shall take into account the need for adequacy and predictability in the flow of funds and the importance of appropriate burden sharing among the developed country Parties*”.
- Article 4.4 calls on developed countries to “...*assist the developing country Parties that are particularly vulnerable to the adverse effects of climate change in meeting costs of*

adaptation to those adverse effects”.

- Article 4.8 calls on Parties to “...give full consideration to what actions are necessary under the Convention, including actions related to funding, insurance and the transfer of technology, to meet the specific needs and concerns of developing country Parties arising from the adverse effects of climate change and/or the impact of the implementation of response measures ...”.
- Article 4.9 calls on Parties to “...take full account of the specific needs and special situations of the least developed countries in their actions with regard to funding and transfer of technology.”

In the following decades, some of the concepts expressed in these Articles (such as adequacy and predictability) have become controversial due to a lack of mutually agreed definitions, and new controversies have arisen. These relate to: the amount of funds provided by developed countries; what metrics and methodologies should be used for counting the funds provided; whether the funds provided for mitigation and adaptation are balanced; whether private sector finance should also be counted; whether climate finance should be “additional” to official development assistance (ODA); and whether only grant-based finance should count for adaptation, or also loans (*see Box 5*). A further question relates to predictability, to allow for more certainty and better planning in developing countries.

These questions have been revisited often over the years, and although language has been agreed to address them, they seem to persist. For instance, UNFCCC Article 4.3 includes a requirement for “*adequacy and predictability in the flow of*

BOX 5: Climate finance terminology

What do the terms that are often used in the context of climate finance mean?

New and additional: Developing countries argue that climate finance must be additional to the 0.7% ODA goal, as mitigation and adaptation are not part of normal development. However, existing metrics for measuring ODA are determined by countries in the Organisation for Economic Co-operation and Development (OECD), and the indicators are *insufficient* to distinguish climate finance from ODA, making it difficult to measure “additionality”.

Adequate: The adequacy of climate finance is linked by developing countries to the levels of funding needed to meet the ultimate objective of the UNFCCC Article 2. The 2°C temperature goal has become a parameter to assess adequacy recently – although it can still have multiple meanings and be hard to measure currently, especially for adaptation, because of methodological challenges.

Predictable: Commitments for climate finance are typically made for shorter time periods, and there is limited certainty over whether funds will continue to be available after that particular commitment period ends. Developing countries have sought a continuous flow instead, in multi-year funding cycles (ideally 5-10 years), to allow for predictability and planning.

Balanced: This term usually refers to a call for balancing the allocation of climate funding between mitigation and adaptation, to overcome the current preference for providing mitigation finance.

Public and private: Developing countries call for public sector funding, particularly for adaptation, as the private sector tends to favour investments in mitigation and focus on more developed countries where risks are lower. The private sector is less likely to have an incentive to invest in the public goods that are often necessary for adaptation. Even in cases where adaptation-related private sector investments take place, it is difficult to come to agreement on which elements of private finance should be counted as climate finance.

Grants or loans: This question arises particularly in the context of adaptation financing, as developing countries argue they should not be expected to take loans to address a problem that is largely not of their making.

funds and the importance of appropriate burden sharing among the developed country Parties". The 2008 Bali Action Plan likewise specifies that funding must be adequate, predictable, sustainable, and new and additional. The Cancun Agreements also state that *"scaled-up, new and additional, predictable and adequate funding shall be provided to developing country Parties"* in the context of long-term finance.

The SCF was created at COP16 in Cancun to resolve some of these ambiguities, including the measurement, reporting, and verification of support provided to developing countries.⁸⁰ In its *biennial assessments and overviews* of climate finance flows, the SCF continues to highlight issues of data uncertainty and gaps, which make it difficult to provide a complete overview.

CLIMATE FINANCE ACCOUNTING IN THE PARIS AGREEMENT AND RULEBOOK

The principles of climate finance, and the uncertainties regarding them, were addressed in the Paris Agreement. Article 9.4 states that the *"provision of scaled-up financial resources should aim to achieve a balance between adaptation and mitigation, taking into account country-driven strategies, and the priorities and needs of developing country Parties, especially those that are particularly vulnerable to the adverse effects of climate change and have significant capacity constraints, such as the least developed countries and small island developing States, considering the need for public and grant-based resources for adaptation"*.

The transparency framework of the Paris Agreement also covers support – improved reporting on support provided and received in the BTRs should help provide a clearer picture of

adaptation finance. It was also **agreed** at Katowice that means of implementation and support will be one of three thematic areas of the global stocktake (in addition to mitigation and adaptation). Inputs to the stocktake will include information on finance flows, and the outputs will include an assessment of opportunities and challenges in enhancing support.⁸¹

LONG-TERM, PREDICTABLE FINANCE

Developed countries have made voluntary contributions, channeled bilaterally and multilaterally, over the past few decades; and also made formal commitments for sums in the negotiations. So, for instance, at COP6-bis, in Bonn, the EU, Canada, Iceland, New Zealand, Norway, and Switzerland committed, in a political declaration, to contribute US\$ 410 million annually by 2005, and review this amount in 2008. The trust and goodwill earned by this commitment was lost to some extent when **disagreements arose** as to whether or not it was met (due to differences on what should count as climate finance), and because the promised review did not take place.⁸²

The Copenhagen Accord, formalised through the Cancun Agreements, committed to “fast-start finance” of US\$ 30 billion for 2010-2012; and to a “long-term finance” goal of US\$ 100 billion per year by 2020. Again, disagreements exist on whether or not these commitments are being met. The US\$ 100 billion is to be provided through a variety of sources, including public, private, and innovative sources, and the accounting rules are not consistent or well-defined enough for both sides to agree on what should count.

Developed countries resist longer-term commitments to finance, citing political uncertainty and the unwillingness of treasuries to earmark funds over longer period of time. The

only certainty accorded currently exists through the four-year replenishment cycles of the GEF (which does not cover adaptation through this replenishment – the LDCF and SCCF are not part of the GEF replenishments) and now the GCF, which is currently organising its first replenishment. So far, the GCF has functioned on the basis of pledges made by developed countries in 2015. It has received US\$ 8 billion of the US\$ 10 billion pledged (the US paid US\$ 1 billion instead of the US\$ 3 billion pledged). As a result, the adaptation-related funds have experienced problems in raising sufficient resources to fund a backlog of fundable projects in the pipeline.⁸³

Attempts have been made to address the predictability problem, particularly for adaptation, through “innovative sources” (or alternative sources). For instance, the LDC Group proposed an [International Air Passenger Adaptation Levy](#) in 2008, with the potential to raise between US\$ 8-10 billion annually for adaptation. Ahead of COP16 in Cancun, the UN Secretary-General’s (UNSG’s) High-Level Advisory Group on Climate Change Financing [identified](#) a number of innovative sources of finance, including from the carbon market, carbon taxes, international transport, and the removal of fossil fuel subsidies. More recent efforts to raise adaptation funds include proposals for contributions from [sub-national carbon markets](#) for the LDC Fund, and [crowdfunding](#) for the Adaptation Fund. Political will for such mechanisms appears to be lacking.

Meanwhile, the Paris outcome noted that “*developed countries intend to continue their existing collective goal to mobilize USD 100 billion per year until 2025 when a new collective goal will be set*”.⁸⁴ This was hotly negotiated in the run-up to Katowice, and it was eventually decided that deliberations on this new long-term goal will begin in November 2020.

The Paris decision also tasked the Adaptation Committee, LEG, and SCF to jointly develop methodologies for reviewing the adequacy and effectiveness of adaptation and support, in connection with the global stocktake. In Katowice, it was **decided** that the current state of knowledge is not sufficient to address the mandate, and more time and effort is needed.⁸⁵ Submissions of views on the issue were called for by April 2020, but without specifying a final date for a decision.

BEYOND THE UNFCCC

While the UNFCCC plays a leading role in shaping the international dialogue, other international fora are dealing with issues that are relevant to adaptation, such as humanitarian, security and development issues.

The [Sendai Framework for Disaster Risk Reduction 2015-2030](#) under the [UN Office for Disaster Risk Reduction](#) addresses the impacts of climate change through the lens of climate risk management. The primary objective of the Framework is “*substantial reduction of disaster risk and losses in lives, livelihoods and health and in the economic, physical, social, cultural and environmental assets of persons, businesses, communities and countries*”. Humanitarian and development assistance communities have been investigating the relationships and potential synergies between disaster risk reduction (DRR) and climate change adaptation extensively.⁸⁶ Although there is some degree of convergence, the main distinction is that, unlike the UNFCCC, the [UN International Strategy for Disaster Reduction](#) is not a legally binding global framework and the responsibility around DRR lies with national governments, rather than the global community. Furthermore, most of the tools and practical approaches from the field of DRR are designed with a focus on extreme events and are less likely to be relevant for slow onset changes.

The [2030 Agenda for Sustainable Development](#) is concerned about climate change as a threat multiplier in the context of [Sustainable Development Goals \(SDGs\)](#). Adopted a few months before the Paris Agreement, the Agenda includes 17 SDGs and related targets. SDG13 is specifically aimed at

climate change, but all the SDGs have the potential to enhance resilience to climate change and are therefore relevant for addressing climate change adaptation. While promoting national action and international cooperation, the 2030 Agenda acknowledges that the UNFCCC is the primary forum for negotiating the global response to climate change.

The UN Security Council (UNSC) addresses climate change in relation to security issues through “Arria-formula” meetings (informal, confidential gatherings of UNSC Members); and the UNSG has prioritised climate change and is aiming to keep up the momentum in 2019 by hosting a Climate Summit and encouraging innovative ways of enhancing climate action, including resilience. The UNSG has also launched a [Global Adaptation and Resilience Investment](#) working group in 2015 at COP21, to bring together private sector organisations, governments, UN agencies, research institutions, and other stakeholders to scale up transformative solutions among the most vulnerable people and communities in SIDS, LDC, and Africa.

Other initiatives include the [UN Refugee Agency](#), which addresses the issue of climate adaptation throughout the increasingly visible issue of climate-induced migrations; and the [International Organization for Migration](#), which is also concerned with adaptation and loss and damage in the light of climate-induced migrations.

CHALLENGES

Even as the impacts of climate change are becoming more and more tangible, we are still in the early stages of the learning curve for adaptation. As this Guide illustrates, the global community's response to adaptation has gathered pace, but has yet to gather sufficient momentum. Although the Paris Agreement may have tried to allocate equal attention to adaptation, many of the concepts and metrics around adaptation lack clear definition.

However, the building blocks for giving adaptation clearer definition exist under the Paris Agreement, including through information gathered from individual country adaptation communications, NDCs, BTRs, and other submissions. Ensuring that the Paris Agreement's architecture uses this information to drive change toward reaching the GGA remains a challenge for all involved.

► THE RELATIONSHIP BETWEEN ADAPTATION AND DEVELOPMENT: IT'S COMPLICATED

Of the many challenges that remain, the complex relationship between adaptation and development may prove impossible (and even perhaps unnecessary) to resolve. While the Adaptation Fund and GCF Boards may struggle to distinguish between adaptation and development as they justify their funding allocations, the fact is that on the ground, mainstreamed and integrated approaches are likely to be

the most cost-effective and sustainable. Moreover, it is near impossible to separate “resilience building” from sustainable development. Seeking a more comfortable co-existence – and even marriage – of the two concepts will be a key challenge for the future. Greater synergies should be sought between the work of the UNFCCC and SDGs, as the achievement of the SDGs can enhance adaptive capacity.

Meanwhile, the language on human rights and cultural dimensions of climate impacts in the Paris Agreement strengthens the path to broader recognition of adaptation as an issue that goes well beyond only economic development.⁸⁷

► THE ROLE OF ADAPTATION-RELATED FUNDS

With the emergence of the GCF, the future of the Adaptation Fund, LDCF, and SCCF seemed to be uncertain for a while. They have now all been included in the fold of the Paris Agreement, with a recommendation at Katowice that once the share of proceeds under Article 6.4 become available, the Adaptation Fund will exclusively serve the Paris Agreement (and no longer the Kyoto Protocol, though a further decision is now necessary by the CMP). The Adaptation Fund Board membership and rules of procedure will need to be revisited in light of its new status under the Paris Agreement. Adaptation will require attention to small-scale, local projects that may not be possible for the GCF as it focuses on larger transformative action. But this could be an area of specialisation for more adaptation-focused funds, along with helping vulnerable countries overcome constraints in accessing funds. The LDCF, for instance, could help the LDCs to overcome the capacity constraints that make it difficult for them to access larger amounts from the GCF.

The most important question, however, is: will these funds secure the resources that they need to survive? The proposal from the LDCs, to have a replenishment process not just for the GEF and GCF, but also the other climate funds, *fell through the cracks* during the negotiations for the Paris Agreement.⁸⁸ These discussions may have to be revived again to ensure a predictable future for these funds.

► SEPARATION OF ADAPTATION AND LOSS AND DAMAGE

Given the evidence reported by the IPCC that there are (hard and soft) limits to adaptation, risking loss and damage, the treatment of adaptation and loss and damage in two separate Articles in the Paris Agreement was considered an important victory by many developing countries.

Nevertheless, this juxtaposition has left a number of unresolved issues, which are threaded throughout the Paris Agreement. For example, the provisions on transparency refer to reporting on “climate change impacts and adaptation” but do not elaborate on what climate change impacts might include. The outcomes of the global stocktake are meant to inform Parties in updating and enhancing their implementation of the Paris Agreement, which presumably includes Article 8 on loss and damage, but loss and damage is not mentioned.

In Katowice, Parties agreed to include information on loss and damage in reporting under the transparency framework and the collective examination of information under the global stocktake; however, how this information will be used to inform progress on the Article 2 aims and objectives of the Paris Agreement, and more specifically, the achievement of the GGA, remains an open question.

► GLOBAL GOAL ON ADAPTATION

The Paris rulebook does not contain further provisions on the GGA. Although the GGA nominally links to the mitigation goal, and some elements of adaptation in the rulebook may be useful to track progress towards achieving the GGA, the real implications of the goal are still unclear. The Adaptation Committee, LEG, and IPCC have been allocated tasks that should help advance further understanding. The transparency framework and the global stocktake will also generate information that will help track effectiveness of action and adequacy of support for adaptation, and therefore contribute to progress towards the GGA. Over time, Party and stakeholder oversight will still be required to ensure that the adaptation concerns of developing countries are adequately captured, communicated, and highlighted in the aggregate.

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ANNEX

1992 UNITED NATIONS FRAMEWORK CONVENTION ON CLIMATE CHANGE

Article 4 COMMITMENTS

1. All Parties, taking into account their common but differentiated responsibilities and their specific national and regional development priorities, objectives and circumstances, shall:

(...)

(e) Cooperate in preparing for adaptation to the impacts of climate change; develop and elaborate appropriate and integrated plans for coastal zone management, water resources and agriculture, and for the protection and rehabilitation of areas, particularly in Africa, affected by drought and desertification, as well as floods;

(f) Take climate change considerations into account, to the extent feasible, in their relevant social, economic and environmental policies and actions, and employ appropriate methods, for example impact assessments, formulated and determined nationally, with a view to minimizing adverse effects on the economy, on public health and on the quality of the environment, of projects or measures undertaken by them to mitigate or adapt to climate change;

(g) Promote and cooperate in scientific, technological, technical, socio-economic and other research, systematic observation and development of data archives related to the climate system and intended to further the understanding and to reduce or eliminate the remaining uncertainties regarding the causes, effects, magnitude and timing of climate change and the economic and social consequences of various response strategies;

(...)

8. In the implementation of the commitments in this Article, the Parties shall give full consideration to what actions are necessary under the Convention, including actions related to funding, insurance and the transfer of technology, to meet the specific needs and concerns of developing country Parties arising from

the adverse effects of climate change and/or the impact of the implementation of response measures, especially on:

- (a) Small island countries;
- (b) Countries with low-lying coastal areas;
- (c) Countries with arid and semi-arid areas, forested areas and areas liable to forest decay;
- (d) Countries with areas prone to natural disasters;
- (e) Countries with areas liable to drought and desertification;
- (f) Countries with areas of high urban atmospheric pollution;
- (g) Countries with areas with fragile ecosystems, including mountainous ecosystems;
- (h) Countries whose economies are highly dependent on income generated from the production, processing and export, and/or on consumption of fossil fuels and associated energy-intensive products; and
- (i) Landlocked and transit countries.

Further, the Conference of the Parties may take actions, as appropriate, with respect to this paragraph.

9. The Parties shall take full account of the specific needs and special situations of the least developed countries in their actions with regard to funding and transfer of technology.

1995 BERLIN MANDATE

Decision II/CP.1: Initial guidance on policies, programme priorities and eligibility criteria to the operating entity or entities of the financial mechanism

The Conference of the Parties,

(...)

1. Decides to adopt the following initial guidance on policies, programme priorities and eligibility criteria to the operating entity or entities of the financial mechanism:

(...)

- (d) Regarding adaptation, the following policies, programme priorities and eligibility criteria should apply:

- (i) Adaptation to the adverse effects of climate change, as defined by the Convention, will require short, medium and long term strategies which should be cost effective, take into account important socio-economic implications, and should be implemented on a stage-by-stage basis in developing countries that are Parties to the Convention. In the short term, the following stage is envisaged:

- Stage I: Planning, which includes studies of possible impacts of climate change, to identify particularly vulnerable countries or regions and policy options for adaptation and appropriate capacity-building;

- (ii) In the medium and long term, the following stages are envisaged for the particularly vulnerable countries or regions identified in Stage I:
- Stage II: Measures, including further capacity-building, which may be taken to prepare for adaptation, as envisaged by Article 4.1(e);
 - Stage III: Measures to facilitate adequate adaptation, including insurance, and other adaptation measures as envisaged by Article 4.1(b) and 4.4;
- (iii) Based on the outputs of the Stage I studies, as well as other relevant scientific and technical studies, such as those of the Intergovernmental Panel on Climate Change (IPCC), and any emerging evidence of the adverse effects of climate change, the Conference of the Parties may decide that it has become necessary to implement the measures and activities envisaged in Stages II and III, consistent with the relevant conclusions of the Committee and with the provisions of the Convention;
- (iv) Funding for the implementation of such adaptation measures and activities would be provided as follows:
- For Stage I, the Conference of the Parties at its first session, shall entrust to the Global Environment Facility (GEF), the interim operating entity of the financial mechanism, the task of meeting the agreed full costs of the activities required by Article 12.1 of the Convention. This would include meeting the agreed full costs of relevant adaptation activities undertaken in the context of the formulation of national communications; such activities may include studies of the possible impacts of climate change, identification of options for implementing the adaptation provisions (especially the obligations contained in Article 4.1(b) and 4.1(e) of the Convention), and relevant capacity- building;
 - If it is decided in accordance with paragraph (iii) above, that it has become necessary to implement the measures envisaged in Stages II and III, the Parties included in Annex II to the Convention will provide funding to implement the adaptation measures envisaged in these stages in accordance with their commitments contained in Article 4.3 and 4.4 of the Convention;
 - In its review of the financial mechanism of the Convention under Article 11.4, the Conference of the Parties, taking into account studies conducted and options for adaptation identified during Stage I, any emerging evidence of the adverse effects of climate change, as well as the relevant conclusions reached by the Committee and its own decisions on this issue, must decide on the channel or channels, under Article 11 of the Convention, to be used for the funding referred to in the preceding subparagraph, to implement the adaptation measures envisaged in Stages II and III.
- (e) Regarding agreed full incremental costs,
The various issues of incremental costs are complex and difficult and further discussion on the subject is therefore needed. The application of the concept

of agreed full incremental costs should be flexible, pragmatic and on a case-by-case basis. Guidelines in this regard will be developed by the Conference of the Parties at a later stage on the basis of experience.

1997 KYOTO PROTOCOL

Article 10

All Parties, taking into account their common but differentiated responsibilities and their specific national and regional development priorities, objectives and circumstances, without introducing any new commitments for Parties not included in Annex I, but reaffirming existing commitments under Article 4, paragraph 1, of the Convention, and continuing to advance the implementation of these commitments in order to achieve sustainable development, taking into account Article 4, paragraphs 3, 5 and 7, of the Convention, shall:

(...)

(b) Formulate, implement, publish and regularly update national and, where appropriate, regional programmes containing measures to mitigate climate change and measures to facilitate adequate adaptation to climate change:

- (i) Such programmes would, inter alia, concern the energy, transport and industry sectors as well as agriculture, forestry and waste management. Furthermore, adaptation technologies and methods for improving spatial planning would improve adaptation to climate change; and
- (ii) Parties included in Annex I shall submit information on action under this Protocol, including national programmes, in accordance with Article 7; and other Parties shall seek to include in their national communications, as appropriate, information on programmes which contain measures that the Party believes contribute to addressing climate change and its adverse impacts, including the abatement of increases in greenhouse gas emissions, and enhancement of and removals by sinks, capacity building and adaptation measures;

(...)

Article 12

1. A clean development mechanism is hereby defined.

(...)

- 8. The Conference of the Parties serving as the meeting of the Parties to this Protocol shall ensure that a share of the proceeds from certified project activities is used to cover administrative expenses as well as to assist developing country Parties that are particularly vulnerable to the adverse effects of climate change to meet the costs of adaptation.

2001 BONN AGREEMENTS ON THE IMPLEMENTATION OF THE BUENOS AIRES PLAN OF ACTION

Decision 5/CP.6:Annex: Core Elements for the Implementation of the Buenos Aires Plan of Action

I. FUNDING UNDER THE CONVENTION

(...)

The Conference of the Parties agrees:

3. That:

- (a) There is a need for funding, including funding that is new and additional to contributions that are allocated to the Global Environment Facility climate change focal area and to multilateral and bilateral funding, for the implementation of the Convention;
- (b) Predictable and adequate levels of funding shall be made available to Parties not included in Annex I;
- (c) In order to meet the commitments under Articles 4.1, 4.3, 4.4, 4.5, 4.8 and 4.9, Parties included in Annex II to the Convention and other Annex I Parties that are in a position to do so should provide funding for developing country Parties, through the following channels:
 - (i) Increased Global Environment Facility replenishment;
 - (ii) The special climate change fund to be established under this decision;
 - (iii) Bilateral and multilateral channels.
- (d) Appropriate modalities for burden sharing among the Parties included in Annex II need to be developed;
- (e) Parties included in Annex II shall report on their financial contributions on an annual basis;
- (f) It shall review the reports referred to in paragraph 3 (e) above on an annual basis.

4. Notes that many Parties included in Annex II have expressed their willingness to commit themselves to providing adequate funding through a political declaration.

Special climate change fund

The Conference of the Parties agrees:

1. That a special climate change fund shall be established to finance activities, programmes and measures related to climate change, that are complementary to those funded by the resources allocated to the Global Environment Facility climate change focal area and by bilateral and multilateral funding, in the following areas:

- (a) Adaptation;
- (b) Technology transfer;

- (c) Energy, transport, industry, agriculture, forestry and waste management; and
 - (d) Activities to assist developing country Parties referred to under Article 4, paragraph 8 (h), in diversifying their economies.
2. That the Parties included in Annex II and other Parties included in Annex I that are in a position to do so shall be invited to contribute to the fund, which shall be operated by an entity which operates the financial mechanism, under the guidance of the Conference of the Parties;
 3. To invite the entity referred to in paragraph 2 above to make the necessary arrangements for this purpose.

Least developed countries

The Conference of the Parties agrees:

1. That a least developed countries fund shall be established, which shall be operated by an entity which operates the financial mechanism, under the guidance of the Conference of the Parties, to support a work programme for the least developed countries. This work programme shall include, inter alia, National Adaptation Programmes of Action;
 2. To invite the entity referred to in paragraph 1 above to make the necessary arrangements for this purpose;
 3. To provide guidance to the entity referred to in paragraph 1 above on the modalities for operating this fund, including expedited access.
- (...)

The Kyoto Protocol adaptation fund

The Conference of the Parties agrees:

1. That an adaptation fund shall be established to finance concrete adaptation projects and programmes in developing country Parties that have become Parties to the Protocol;
2. That the adaptation fund shall be financed from the share of proceeds on the clean development mechanism project activities and other sources of funding;
3. That Annex I Parties that intend to ratify the Kyoto Protocol are invited to provide funding, which will be additional to the share of proceeds on clean development mechanism project activities;
4. That the adaptation fund shall be operated and managed by an entity which operates the financial mechanism of the Convention, under the guidance of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol, with guidance to be provided by the Conference of the Parties in the period prior to entry into force of the Kyoto Protocol;
5. To invite the entity referred to in paragraph 4 above to make the necessary arrangements for this purpose;
6. That Parties included in Annex I that intend to ratify the Kyoto Protocol shall report on their financial contributions to the fund on an annual basis;

7. To review the reports referred to in paragraph 6 above on an annual basis, upon entry into force of the Kyoto Protocol to be reviewed by the Conference of the Parties serving as the meeting of the Parties.

2001 MARRAKESH ACCORDS

Decision I/CP.7: The Marrakesh Ministerial Declaration

The Ministers and other heads of delegation present at the seventh session of the Conference of the Parties to the United Nations Framework Convention on Climate Change,

(...)

2. *Remain* deeply concerned that all countries, particularly developing countries, including the least developed countries and small island States, face increased risk of negative impacts of climate change;

(...)

5. *Emphasize* that climate change and its adverse impacts have to be addressed through cooperation at all levels, and welcome the efforts of all Parties to implement the Convention.

Decision 5/CP.7: Implementation of Article 4, paragraphs 8 and 9, of the Convention (decision 3/CP.3 and Article 2, paragraph 3, and Article 3, paragraph 14, of the Kyoto Protocol)

(...)

I. ADVERSE EFFECTS OF CLIMATE CHANGE

1. *Asserts* the importance of a country-driven approach that allows developing country Parties to pursue the specific activities most appropriate to their unique national circumstances;
2. *Insists* that action related to adaptation follow an assessment and evaluation process, based on national communications and/or other relevant information, so as to prevent maladaptation and to ensure that adaptation actions are environmentally sound and will produce real benefits in support of sustainable development;
3. *Encourages* Parties not included in Annex I to the Convention (non-Annex I Parties) to provide information, including in their national communications, and/or any other relevant information sources, on their specific needs and concerns arising from the adverse effects of climate change;
4. *Stresses* the need for Parties included in Annex II to the Convention (Annex II Parties) to provide detailed information, including in their national communications, on support programmes to meet the specific needs and

circumstances of developing country Parties arising from the adverse effects of climate change;

5. *Encourages* Parties to exchange information on their experience regarding the adverse effects of climate change and on measures to meet their needs arising from these adverse effects;
6. *Underlines* the importance of the ongoing work of the secretariat in compiling and disseminating information on methods and tools for evaluating impacts and adaptation strategies; 7. *Decides* that the implementation of the following activities shall be supported through the Global Environment Facility (in accordance with decision 6/CP.7) and other bilateral and multilateral sources:
 - (a) Information and methodologies:
 - (i) Improving data collection and information gathering, as well as their analysis, interpretation and dissemination to end-users;
 - (ii) Integrating climate change considerations into sustainable development planning;
 - (iii) Providing training in specialized fields relevant to adaptation such as climate and hydroclimate studies, geographical information systems, environmental impact assessment, modelling, integrated coastal zone management, soil and water conservation and soil restoration;
 - (iv) Strengthening existing and, where needed, establishing national and regional systematic observation and monitoring networks (sea-level rise, climate and hydrological monitoring stations, fire hazards, land degradation, floods, cyclones and droughts);
 - (v) Strengthening existing and, where needed, establishing national and regional centres and institutions for the provision of research, training, education and scientific and technical support in specialized fields relevant to climate change, utilizing information technology as much as possible;
 - (vi) Strengthening existing and, where needed, establishing national and regional research programmes on climate variability and climate change, oriented towards improving knowledge of the climate system at the regional level, and creating national and regional scientific capability;
 - (vii) Supporting education and training in, and public awareness of, climate change related issues, for example through workshops and information dissemination;
 - (b) Vulnerability and adaptation:
 - (i) Supporting enabling activities for vulnerability and adaptation assessment;
 - (ii) Enhancing technical training for integrated climate change impact and vulnerability and adaptation assessments across all relevant

- sectors, and environmental management related to climate change;
- (iii) Enhancing capacity, including institutional capacity, to integrate adaptation into sustainable development programmes;
 - (iv) Promoting the transfer of adaptation technologies;
 - (v) Establishing pilot or demonstration projects to show how adaptation planning and assessment can be practically translated into projects that will provide real benefits, and may be integrated into national policy and sustainable development planning, on the basis of information provided in the national communications from non-Annex I Parties and/or other relevant sources, and of the staged approach endorsed by the Conference of the Parties in its decision 11/CP.1;
 - (vi) Supporting capacity building, including institutional capacity, for preventive measures, planning, preparedness of disasters relating to climate change, including contingency planning, in particular, for droughts and floods in areas prone to extreme weather events;
 - (vii) Strengthening existing and, where needed, establishing early warning systems for extreme weather events in an integrated and interdisciplinary manner to assist developing country Parties, in particular those most vulnerable to climate change;
8. *Decides* that the implementation of the following activities shall be supported through the special climate change fund (in accordance with decision 7/CP.7) and/or the adaptation fund (in accordance with decision 10/CP.7), and other bilateral and multilateral sources:
- (a) Starting to implement adaptation activities promptly where sufficient information is available to warrant such activities, inter alia, in the areas of water resources management, land management, agriculture, health, infrastructure development, fragile ecosystems, including mountainous ecosystems, and integrated coastal zone management;
 - (b) Improving the monitoring of diseases and vectors affected by climate change, and related forecasting and early-warning systems, and in this context improving disease control and prevention;
 - (c) Supporting capacity building, including institutional capacity, for preventive measures, planning, preparedness and management of disasters relating to climate change, including contingency planning, in particular, for droughts and floods in areas prone to extreme weather events;
 - (d) Strengthening existing and, where needed, establishing national and regional centres and information networks for rapid response to extreme weather events, utilizing information technology as much as possible;
9. *Decides* to consider, at its eighth session, the implementation of insurance-related actions to meet the specific needs and concerns of developing country Parties arising from the adverse effects of climate change, based on the outcome of the workshops referred to in paragraphs 37 and 38 below;
10. *Requests* the Subsidiary Body for Scientific and Technological Advice and the Subsidiary Body for Implementation to review, at their subsequent

sessions, the progress of the above- mentioned activities and make recommendations thereon to the Conference of the Parties at its eighth session;

II. IMPLEMENTATION OF ARTICLE 4, PARAGRAPH 9, OF THE CONVENTION

11. *Decides* to establish a work programme for the implementation of Article 4, paragraph 9, of the Convention, which would include activities covered under paragraphs 15 to 19 below, as well as the following:
 - (a) Strengthening existing and, where needed, establishing, national climate change secretariats and/or focal points to enable the effective implementation of the Convention and the Kyoto Protocol, in the least developed country Parties;
 - (b) Providing training, on an ongoing basis, in negotiating skills and language, where needed, to develop the capacity of negotiators from the least developed countries to participate effectively in the climate change process;
 - (c) Supporting the preparation of national adaptation programmes of action;
12. *Decides* that a least developed countries fund shall be established (in accordance with decision 7/CP.7), to be operated by an entity entrusted with the operation of the financial mechanism, under the guidance of the Conference of the Parties, to support the work programme for the least developed countries. This work programme shall include, inter alia, the preparation and implementation of national adaptation programmes of action;
13. *Invites* Annex II Parties to contribute financially to the programme mentioned in paragraph 11 above;
14. *Invites* Annex II Parties to support least developed country Parties for the following activities:
 - (a) Promotion of public awareness programmes to ensure the dissemination of information on climate change issues;
 - (b) Development and transfer of technology, particularly adaptation technology (in accordance with decision 4/CP.7);
 - (c) Strengthening of the capacity of meteorological and hydrological services to collect, analyse, interpret and disseminate weather and climate information to support implementation of national adaptation programmes of action;
15. *Decides* that support be provided for the development, by the least developed countries, of national adaptation programmes of action which will serve as a simplified and direct channel of communication of information relating to the vulnerabilities and adaptation needs of the least developed countries; the information contained in national adaptation programmes of action may constitute the first step in the preparation of initial national communications;

16. *Decides* to consider, at its current session, the establishment of a least developed country group of experts, including its terms of reference, taking into account geographical balance, as well as the above-mentioned consideration of the terms of reference of the Consultative Group of Experts;
17. *Decides* to assess, at its current session, the status of implementation of Article 4, paragraph 9, of the Convention and to consider further action thereon;

Decision 28/CP.7: Guidelines for the preparation of national adaptation programmes of action

The Conference of the Parties,

Recognizing the specific needs and special situations of the least developed countries referred to in Article 4, paragraph 9, of the Convention,

Recognizing further that many of the least developed country Parties do not have the capacity to prepare and submit national communications in the foreseeable future, or to convey their urgent and immediate needs in respect of their vulnerability and adaptation to the adverse effects of climate change,

Recognizing also that information contained in national adaptation programmes of action may constitute the first step in the preparation of initial national communications, and would help to build capacity for addressing urgent and immediate adaptation needs, as well as for the preparation of national communications;

1. *Decides* to adopt the guidelines for the preparation of national adaptation programmes of action included in the annex to the present decision;
2. *Invites* Parties to make submissions with a view to improving the guidelines, by 15 July 2002, for consideration by the Subsidiary Body for Implementation at its seventeenth session;
3. *Decides* to review, and if necessary revise, the guidelines at its eighth session, taking into account the views submitted by Parties and the least developed countries expert group established under decision 29/CP.7;
4. *Invites* least developed country Parties to use the above-mentioned guidelines, in accordance with their national circumstances, in preparing their national adaptation programmes of action.

Decision 29/CP.7: Establishment of a least developed countries expert group

The Conference of the Parties,

Recalling its decision 5/CP.7,

Recognizing the specific needs and special situations of the least developed countries referred to in Article 4, paragraph 9, of the Convention,

Recalling the provisions of paragraph 16 of its decision 5/CP.7, in which, *inter alia*, it decided that, at its current session, consideration should be given to the establishment of a least developed countries expert group, including its terms of reference, taking into account geographical balance,

1. *Decides* to establish a least developed countries expert group, pursuant to the terms of reference included in the annex to the present decision;
2. *Decides* also that, taking into account the unique circumstances of the least developed countries, the establishment of the group referred to in paragraph 1 above does not set a precedent for the establishment of similar groups for other categories of countries;
3. *Requests* the secretariat to facilitate the work of the least developed countries expert group in accordance with the terms of reference included in the annex to the present decision;
4. *Decides* to review, at its ninth session, the progress, need for continuation and terms of reference of the group, including the duration of the term of office of its members, and to adopt a decision thereon, taking into account the implementation needs identified in completed national adaptation programmes of action, as well as the experience of least developed country Parties which have started implementing their national adaptation programmes of action.

2002 DELHI MINISTERIAL DECLARATION ON CLIMATE CHANGE AND SUSTAINABLE DEVELOPMENT

Decision I/CP.8

The Ministers and other heads of delegation present at the eighth session of the Conference of the Parties to the United Nations Framework Convention on Climate Change,

(...)

Noting that mitigation actions are now taking place both in Annex I and non-Annex I countries and emphasizing that mitigation of greenhouse gas emissions to combat climate change continues to have high priority under the provisions of the Convention and that, at the same time, urgent action is required to advance adaptation measures,

Recognizing that climate change could endanger future well-being, ecosystems and economic progress in all regions,

Deeply concerned that all countries, particularly developing countries, including the least developed countries and small island developing States, face an increased risk of the negative impacts of climate change,

Recognizing that, as Africa is the region suffering the most from the combined impacts of climate change and poverty, development initiatives such as the New Partnership for Africa's Development should be supported in the context of sustainable development,

Resolve that, in order to respond to the challenges faced now and in the future, climate change and its adverse effects should be addressed while meeting the requirements of sustainable development, and therefore call for the following:

(...)

(e) Adaptation to the adverse effects of climate change is of high priority for all countries. Developing countries are particularly vulnerable, especially the least developed countries and small island developing States. Adaptation requires urgent attention and action on the part of all countries. Effective and result-based measures should be supported for the development of approaches at all levels on vulnerability and adaptation, as well as capacity-building for the integration of adaptation concerns into sustainable development strategies. The measures should include full implementation of existing commitments under the Convention and the Marrakesh Accords;

(f) Parties should promote informal exchange of information on actions relating to mitigation and adaptation to assist Parties to continue to develop effective and appropriate responses to climate change;

(g) The specific needs and concerns of developing country Parties arising from the adverse effects of climate change and the impact of the implementation of response measures should be given full consideration;

2004 BUENOS AIRES PROGRAMME OF WORK ON ADAPTATION AND RESPONSE MEASURES

Decision I/CP.10

The Conference of the Parties,

(...)

I. Adverse effects of climate change

1. *Invites* developing country Parties to make use of the strategic priorities on adaptation and capacity-building funded by the Global Environment Facility, in response to existing guidance from the Conference of the Parties, and of the funding recently pledged to the Special Climate Change Fund;
2. *Requests* the entities identified in decision 5/CP.7, paragraphs 7 and 8, to make available further financial and technical resources to implement the actions therein;
3. *Urges* Parties included in Annex II to the Convention (Annex II Parties) to contribute to the Special Climate Change Fund and other multilateral and bilateral sources, to support, as a top priority, adaptation activities to address the adverse impacts of climate change;
4. *Insists* that action relating to adaptation follow an assessment and evaluation process, based on national communications and/or other relevant information, so as to prevent maladaptation and to ensure that adaptation

actions are environmentally sound and will produce real benefits in support of sustainable development;

5. *Decides* to further the implementation of actions under decision 5/CP.7, paragraph 7, including through:

(a) Information and methodologies

(ii) Strengthening in-country capacity-building for generating, managing, processing and analysing data sets, for improving the quality of analytical tools, and for disseminating the results of these efforts in sectors that can contribute to climate change impact analysis, including through the development and strengthening of in-country modelling tools to assess the adverse effects of climate change and drivers of regional climate trends;

(iii) Providing additional training in each specialized field relevant to adaptation identified in decision 5/CP.7, paragraph 7 (a) (iii), in order to create and sustain in-country capacity, including through overseas training, scholarship programmes and workshops, according to needs identified by Parties;

(iv) Improving the availability of General Circulation Models, including their outputs and results, and providing training and financial and technical assistance to non-Annex I Parties for the development and application of downscaling tools at regional and national levels;

(v) Strengthening institutions and centres through targeted research programmes under decision 5/CP.7, paragraph 7 (a) (v) and (vi), to address the adverse effects of climate change in vulnerable sectors;

(vi) Supporting education and training in, and public awareness of, issues relating to climate change under decision 5/CP.7, paragraph 7 (a) (vii), as well as stakeholder participation in key sectors;

(b) Vulnerability and adaptation

(i) Carrying out pilot and demonstration projects under decision 5/CP.7,

paragraph 7 (b) (v), in particular to take forward adaptation projects identified in national communications and other relevant sources, including activities that strengthen adaptive capacity;

(ii) Enhancing technical training for integrated climate change impact and vulnerability assessment across all relevant sectors, and for environmental management relating to climate change under decision 5/CP.7, paragraph 7 (b) (ii);

(iii) Promoting the transfer of technologies for adaptation under decision 5/CP.7, paragraph 7 (b) (iv), on an urgent basis in priority sectors, including agriculture and water resources, for example through the exchange of experiences and lessons learned in enhancing resilience to the adverse effects of climate change in key sectors;

(iv) Building capacity, including institutional capacity, for preventive measures, planning, preparedness and management of disasters relating to climate change, including contingency planning, in particular for droughts and floods and extreme weather events, in accordance with decision 5/CP.7, paragraphs 7 (b) (vi) and 8 (c);

6. *Requests* the Global Environment Facility to report to the Conference of the Parties at its eleventh session (November–December 2005) and subsequent sessions on how the above-mentioned activities have been supported, and the barriers, obstacles and opportunities presented, through:
 - (a) The strategic priority “Piloting an Operational Approach to Adaptation”
 - (b) The small grants programme
 - (c) Efforts to address adaptation in the climate change focal area and to mainstream it into other focal areas of the Global Environment Facility
 - (d) The Least Developed Countries Fund and efforts to finance the preparation of national adaptation programmes of action
 - (e) The Special Climate Change Fund;
7. *Requests* the Global Environment Facility to expand support for the elaboration of adaptation strategies as part of the national communication process in non-Annex I Parties;
8. *Requests* the secretariat to organize the following, before the thirteenth session of the Conference of the Parties (November 2007), as outlined in decision 5/CP.7, paragraph 32, in order to facilitate information exchange and integrated assessments to assist in identifying specific adaptation needs and concerns:
 - (a) Three regional workshops, reflecting regional priorities
 - (b) One expert meeting for small island developing States, reflecting issues of priority identified by that group;
9. *Further requests* the secretariat to prepare reports on the outcome of these workshops and meetings in order for the Subsidiary Body for Implementation to consider what further actions may be required by the Conference of the Parties at its thirteenth session;

Modelling

10. *Encourages* the Intergovernmental Panel on Climate Change to incorporate, to the extent possible, region-specific modelling information on the adverse effects of climate change into its Fourth Assessment Report, and to engage developing country researchers in the assessment process;
11. *Stresses* the importance of involving experts from developing countries in improving data collection and information gathering relating to the adverse effects of climate change, as well as in the analysis, interpretation and dissemination of such data and information;

Reporting

12. *Requests* Annex II Parties to provide detailed information, including in their national communications, on progress made on support programmes to meet the specific needs and circumstances of developing country Parties arising from the adverse effects of climate change;
13. *Encourages* non-Annex I Parties to provide information, including in their national communications and/or other reports, on their specific needs and concerns arising from the adverse effects of climate change, including any gaps they identify in the implementation of decision 5/CP.7;

14. *Requests* the Subsidiary Body for Implementation at its twenty-seventh session (November 2007) to consider available compilation and synthesis reports of national communications of both Annex I Parties and non-Annex I Parties and other relevant reports in relation to the adverse effects of climate change;

2005 NAIROBI WORK PROGRAMME

Decision 2/CP.1 I: Five-year programme of work of the Subsidiary Body for Scientific and Technological Advice on impacts, vulnerability and adaptation to climate change

The Conference of the Parties,
(...)

1. *Adopts* the five-year programme of work of the Subsidiary Body for Scientific and Technological Advice on impacts, vulnerability and adaptation to climate change (hereinafter referred to as the programme of work) as contained in the annex to this decision;
2. *Decides* that the programme of work should be undertaken consistent with the terms of reference of the Subsidiary Body for Scientific and Technological Advice as referred to in Article 9 of the Convention;
3. *Urges* all Parties to participate in the implementation of the programme of work;
4. *Requests* Parties in a position to do so to support the implementation of the programme of work;
5. *Requests* the Subsidiary Body for Scientific and Technological Advice, under the guidance of its Chair and with the assistance of the secretariat, to coordinate the implementation of the programme of work, subject to the availability of resources;
6. *Requests* the Subsidiary Body for Scientific and Technological Advice:
 - (a) To start the implementation of the programme of work by undertaking the initial activities specified in the conclusions of the Subsidiary Body for Scientific and Technological Advice at its twenty-third session;
 - (b) To consider and further elaborate, at its twenty-fourth session (May 2006), additional activities and modalities of the programme of work, including the timing of these activities and the possible need for and role that a group or groups of experts could have in the implementation of the programme of work, based on the draft indicative list of activities in an annex to the final report of the Subsidiary Body for Scientific and Technological Advice at its twenty-third session;
 - (c) To consider at subsequent sessions the results of initial activities and to provide guidance, as appropriate, on further action;
 - (d) To consider, at its twenty-eighth session (June 2008), further activities as well as appropriate timing and modalities for their inclusion

in the programme of work based on the results of the initial activities, information presented in the Fourth Assessment Report of the Intergovernmental Panel on Climate Change and other new scientific information, as well as relevant activities from international and regional institutions;

(e) To review and report on the programme of work to the Conference of the Parties at its sixteenth session (December 2010).

Annex: Five-year programme of work of the Subsidiary Body for Scientific and Technological Advice on impacts, vulnerability and adaptation to climate change

I. Objective

1. Advice (SBSTA) is to assist all Parties, in particular developing countries, including the least developed countries and small island developing States, to improve their understanding and assessment of impacts, vulnerability and adaptation, and to make informed decisions on practical adaptation actions and measures to respond to climate change on a sound, scientific, technical and socio-economic basis, taking into account current and future climate change and variability.

II. Expected outcome

2. The expected outcomes of the programme of work are:

(a) Enhanced capacity at international, regional, national, sectoral and local levels to further identify and understand impacts, vulnerability, and adaptation responses, and to select and implement practical, effective and high priority adaptation actions;

(b) Improved information and advice to the Conference of the Parties (COP) and its subsidiary bodies on the scientific, technical and socio-economic aspects of impacts, vulnerability and adaptation, including facilitating the implementation of decision 1/CP.10, where relevant;

(c) Enhanced development, dissemination and use of knowledge from practical adaptation activities;

(d) Enhanced cooperation among Parties, relevant organizations, business, civil society and decision makers, aimed at enhancing their ability to manage climate change risks;

(e) Enhanced integration of actions to adapt to climate change with sustainable development.

III. Scope of work

3. The programme of work comprises two thematic areas, each with several action-oriented sub-themes:

(a) Impacts and vulnerability:

(i) Promoting development and dissemination of methodologies and tools for impact and vulnerability assessments, such as rapid assessments and bottom-up approaches, including as they apply to sustainable development;

(ii) Improving collection, management, exchange, access to and use of observational data and other relevant information on current

and historical climate and its impacts, and promoting improvement of observations, including the monitoring of climate variability;

(iii) Promoting the development of, access to, and use of information and data on projected climate change;

(iv) Promoting understanding of impacts of, and vulnerability to, climate change, current and future climate variability and extreme events, and the implications for sustainable development;

(v) Promoting the availability of information on the socio-economic aspects of climate change and improving the integration of socio-economic information into impact and vulnerability assessments;

(b) Adaptation planning, measures and actions:

(i) Promoting the development and dissemination of methods and tools for assessment and improvement of adaptation planning, measures and actions, and integration with sustainable development;

(ii) Collecting, analysing and disseminating information on past and current practical adaptation actions and measures, including adaptation projects, short- and long-term adaptation strategies, and local and indigenous knowledge;

(iii) Promoting research on adaptation options and the development and diffusion of technologies, know-how and practices for adaptation, particularly addressing identified adaptation priorities and building on lessons learned from current adaptation projects and strategies;

(iv) Facilitating communication and cooperation among and between Parties and relevant organizations, business, civil society and decision makers, and other stakeholders;

(v) Promoting understanding and the development and dissemination of measures, methodologies and tools including for economic diversification aimed at increasing economic resilience and reducing reliance on vulnerable economic sectors, especially for relevant categories of countries listed in Article 4, paragraph 8, of the Convention.

4. The programme of work will be implemented through specific activities under each sub-theme. The implementation of such activities should incorporate the following cross-cutting issues:

(a) Methodologies, data and modelling

(b) Integration into sustainable development.

5. The work should draw on relevant information and activities under the Convention, as well as information from, and activities being undertaken in, other relevant international, regional and other organizations.

IV. Modalities

6. The modalities for implementation of the programme of work, depending on the nature of the specific activities and availability of resources, may include:

(a) Workshops and meetings;

- (b) The drawing on of knowledge, expertise and input from experts, practitioners and relevant organizations, including to prepare reports and other materials for considerations by Parties and the SBSTA;
- (c) The building on and/or updating of relevant existing compendiums and web-based resources;
- (d) Targeted submissions, including those based on questionnaires, from Parties and organizations;
- (e) Reports and technical papers, assessments prepared by the secretariat, Convention expert groups or experts from other organizations;
- (f) Other modalities, such as a group or groups of experts, upon agreement by the SBSTA.

2007 BALI ACTION PLAN

Decision I/CP.13

The Conference of the Parties,

(...)

1. *Decides* to launch a comprehensive process to enable the full, effective and sustained implementation of the Convention through long-term cooperative action, now, up to and beyond 2012, in order to reach an agreed outcome and adopt a decision at its fifteenth session, by addressing, inter alia:

(...)

(c) Enhanced action on adaptation, including, inter alia, consideration of:

(i) International cooperation to support urgent implementation of adaptation actions, including through vulnerability assessments, prioritization of actions, financial needs assessments, capacity-building and response strategies, integration of adaptation actions into sectoral and national planning, specific projects and programmes, means to incentivize the implementation of adaptation actions, and other ways to enable climate-resilient development and reduce vulnerability of all Parties, taking into account the urgent and immediate needs of developing countries that are particularly vulnerable to the adverse effects of climate change, especially the least developed countries and small island developing States, and further taking into account the needs of countries in Africa affected by drought, desertification and floods;

(ii) Risk management and risk reduction strategies, including risk sharing and transfer mechanisms such as insurance;

(iii) Disaster reduction strategies and means to address loss and damage associated with climate change impacts in developing countries that are particularly vulnerable to the adverse effects of climate change;

(iv) Economic diversification to build resilience;

(v) Ways to strengthen the catalytic role of the Convention in

encouraging multilateral bodies, the public and private sectors and civil society, building on synergies among activities and processes, as a means to support adaptation in a coherent and integrated manner;

(d) Enhanced action on technology development and transfer to support action on mitigation and adaptation, including, inter alia, consideration of:

(i) Effective mechanisms and enhanced means for the removal of obstacles to, and provision of financial and other incentives for, scaling up of the development and transfer of technology to developing country Parties in order to promote access to affordable environmentally sound technologies;

(ii) Ways to accelerate deployment, diffusion and transfer of affordable environmentally sound technologies;

(iii) Cooperation on research and development of current, new and innovative technology, including win-win solutions;

(iv) The effectiveness of mechanisms and tools for technology cooperation in specific sectors;

(e) Enhanced action on the provision of financial resources and investment to support action on mitigation and adaptation and technology cooperation, including, inter alia, consideration of:

(i) Improved access to adequate, predictable and sustainable financial resources and financial and technical support, and the provision of new and additional resources, including official and concessional funding for developing country Parties;

(ii) Positive incentives for developing country Parties for the enhanced implementation of national mitigation strategies and adaptation action;

(iii) Innovative means of funding to assist developing country Parties that are particularly vulnerable to the adverse impacts of climate change in meeting the cost of adaptation;

(iv) Means to incentivize the implementation of adaptation actions on the basis of sustainable development policies;

(v) Mobilization of public- and private-sector funding and investment, including facilitation of climate-friendly investment choices;

(vi) Financial and technical support for capacity-building in the assessment of the costs of adaptation in developing countries, in particular the most vulnerable ones, to aid in determining their financial needs;

(...)

2015 COPENHAGEN ACCORD

Decision 2/CP.15

The Conference of the Parties,
Takes note of the Copenhagen Accord of 18 December 2009.

Copenhagen Accord

(...)

1. We underline that climate change is one of the greatest challenges of our time. We emphasise our strong political will to urgently combat climate change in accordance with the principle of common but differentiated responsibilities and respective capabilities. To achieve the ultimate objective of the Convention to stabilize greenhouse gas concentration in the atmosphere at a level that would prevent dangerous anthropogenic interference with the climate system, we shall, recognizing the scientific view that the increase in global temperature should be below 2 degrees Celsius, on the basis of equity and in the context of sustainable development, enhance our long-term cooperative action to combat climate change. We recognize the critical impacts of climate change and the potential impacts of response measures on countries particularly vulnerable to its adverse effects and stress the need to establish a comprehensive adaptation programme including international support.

(...)

3. Adaptation to the adverse effects of climate change and the potential impacts of response measures is a challenge faced by all countries. Enhanced action and international cooperation on adaptation is urgently required to ensure the implementation of the Convention by enabling and supporting the implementation of adaptation actions aimed at reducing vulnerability and building resilience in developing countries, especially in those that are particularly vulnerable, especially least developed countries, small island developing States and Africa. We agree that developed countries shall provide adequate, predictable and sustainable financial resources, technology and capacity-building to support the implementation of adaptation action in developing countries.

(...)

8. Scaled up, new and additional, predictable and adequate funding as well as improved access shall be provided to developing countries, in accordance with the relevant provisions of the Convention, to enable and support enhanced action on mitigation, including substantial finance to reduce emissions from deforestation and forest degradation (REDD-plus), adaptation, technology development and transfer and capacity-building, for enhanced implementation of the Convention. The collective commitment by developed countries is to provide new and additional resources, including forestry and investments through international

institutions, approaching USD 30 billion for the period 2010–2012 with balanced allocation between adaptation and mitigation. Funding for adaptation will be prioritized for the most vulnerable developing countries, such as the least developed countries, small island developing States and Africa. In the context of meaningful mitigation actions and transparency on implementation, developed countries commit to a goal of mobilizing jointly USD 100 billion dollars a year by 2020 to address the needs of developing countries. This funding will come from a wide variety of sources, public and private, bilateral and multilateral, including alternative sources of finance. New multilateral funding for adaptation will be delivered through effective and efficient fund arrangements, with a governance structure providing for equal representation of developed and developing countries.

A significant portion of such funding should flow through the Copenhagen Green Climate Fund.

9. To this end, a High Level Panel will be established under the guidance of and accountable to the Conference of the Parties to study the contribution of the potential sources of revenue, including alternative sources of finance, towards meeting this goal.
10. We decide that the Copenhagen Green Climate Fund shall be established as an operating entity of the financial mechanism of the Convention to support projects, programme, policies and other activities in developing countries related to mitigation including REDD-plus, adaptation, capacity-building, technology development and transfer.

2010 THE CANCUN AGREEMENTS

Decision I/CP.16

The Conference of the Parties,
(...)

II. Enhanced action on adaptation

11. *Agrees* that adaptation is a challenge faced by all Parties, and that enhanced action and international cooperation on adaptation is urgently required to enable and support the implementation of adaptation actions aimed at reducing vulnerability and building resilience in developing country Parties, taking into account the urgent and immediate needs of those developing countries that are particularly vulnerable;
12. *Affirms* that enhanced action on adaptation should be undertaken in accordance with the Convention, should follow a country-driven, gender-sensitive, participatory and fully transparent approach, taking into consideration vulnerable groups, communities and ecosystems, and should be based on and guided by the best available science and, as appropriate, traditional and indigenous knowledge, with a view to integrating adaptation into relevant social, economic and environmental policies and actions, where appropriate;

13. *Decides* to hereby establish the Cancun Adaptation Framework encompassing the provisions laid out below, with the objective of enhancing action on adaptation, including through international cooperation and coherent consideration of matters relating to adaptation under the Convention;
14. *Invites* all Parties to enhance action on adaptation under the Cancun Adaptation Framework, taking into account their common but differentiated responsibilities and respective capabilities, and specific national and regional development priorities, objectives and circumstances, by undertaking, inter alia, the following:
 - (a) Planning, prioritizing and implementing adaptation actions, including projects and programmes,¹ and actions identified in national and subnational adaptation plans and strategies, national adaptation programmes of action of the least developed countries, national communications, technology needs assessments and other relevant national planning documents;
 - (b) Impact, vulnerability and adaptation assessments, including assessments of financial needs as well as economic, social and environmental evaluation of adaptation options;
 - (c) Strengthening institutional capacities and enabling environments for adaptation, including for climate-resilient development and vulnerability reduction;
 - (d) Building resilience of socio-economic and ecological systems, including through economic diversification and sustainable management of natural resources;
 - (e) Enhancing climate change related disaster risk reduction strategies, taking into consideration the Hyogo Framework for Action, where appropriate, early warning systems, risk assessment and management, and sharing and transfer mechanisms such as insurance, at the local, national, subregional and regional levels, as appropriate;
 - (f) Measures to enhance understanding, coordination and cooperation with regard to climate change induced displacement, migration and planned relocation, where appropriate, at the national, regional and international levels;
 - (g) Research, development, demonstration, diffusion, deployment and transfer of technologies, practices and processes, and capacity-building for adaptation, with a view to promoting access to technologies, in particular in developing country Parties;
 - (h) Strengthening data, information and knowledge systems, education and public awareness;
 - (i) Improving climate-related research and systematic observation for climate data collection, archiving, analysis and modelling in order to provide decision makers at the national and regional levels with improved climate-related data and information;
15. *Decides* to hereby establish a process to enable least developed country Parties to formulate and implement national adaptation plans, building

- upon their experience in preparing and implementing national adaptation programmes of action, as a means of identifying medium- and long-term adaptation needs and developing and implementing strategies and programmes to address those needs;
16. *Invites* other developing country Parties to employ the modalities formulated to support the above-mentioned national adaptation plans in the elaboration of their planning effort referred to in paragraph 14 (a) above;
 17. *Requests* the Subsidiary Body for Implementation to elaborate modalities and guidelines for the provisions of paragraphs 15 and 16 above, for adoption by the Conference of the Parties at its seventeenth session;
 18. *Requests* developed country Parties to provide developing country Parties, taking into account the needs of those that are particularly vulnerable, with long-term, scaled-up, predictable, new and additional finance, technology and capacity-building, consistent with relevant provisions, to implement urgent, short-, medium- and long-term adaptation actions, plans, programmes and projects at the local, national, subregional and regional levels, in and across different economic and social sectors and ecosystems, as well as to undertake the activities referred to in paragraphs 14–16 above and paragraphs 30, 32 and 33 below;
 19. *Acknowledges* the need to strengthen, enhance and better utilize existing institutional arrangements and expertise under the Convention;
 20. *Decides* to hereby establish an Adaptation Committee to promote the implementation of enhanced action on adaptation in a coherent manner under the Convention, inter alia, through the following functions:
 - (a) Providing technical support and guidance to the Parties, respecting the country-driven approach, with a view to facilitating the implementation of adaptation activities, including those listed in paragraphs 14 and 15 above, where appropriate;
 - (b) Strengthening, consolidating and enhancing the sharing of relevant information, knowledge, experience and good practices, at the local, national, regional and international levels, taking into account, as appropriate, traditional knowledge and practices;
 - (c) Promoting synergy and strengthening engagement with national, regional and international organizations, centres and networks, in order to enhance the implementation of adaptation actions, in particular in developing country Parties;
 - (d) Providing information and recommendations, drawing on adaptation good practices, for consideration by the Conference of the Parties when providing guidance on means to incentivize the implementation of adaptation actions, including finance, technology and capacity-building and other ways to enable climate-resilient development and reduce vulnerability, including to the operating entities of the financial mechanism of the Convention, as appropriate;
 - (e) Considering information communicated by Parties on their monitoring and review of adaptation actions, support provided and

- received, possible needs and gaps and other relevant information, including information communicated under the Convention, with a view to recommending what further actions may be required, as appropriate;
21. *Invites* Parties to submit to the secretariat, by 21 February 2011, views on the composition of, and modalities and procedures for, the Adaptation Committee, including on proposed linkages with other relevant institutional arrangements;
 22. *Requests* the secretariat to compile these submissions into a miscellaneous document, to be made available by the fourteenth session of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention, and to prepare a synthesis report based on those submissions by the fourteenth session of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention;
 23. *Requests* the Ad Hoc Working Group on Long-term Cooperative Action under the Convention, taking into account the above-mentioned submissions and synthesis report, to elaborate the composition of, and modalities and procedures for, the Adaptation Committee, for adoption by the Conference of the Parties at its seventeenth session;
 24. *Also requests* the Ad Hoc Working Group on Long-term Cooperative Action under the Convention, in elaborating the above-mentioned modalities and procedures, to define, as appropriate, linkages with other relevant institutional arrangements under and outside the Convention, including at the national and regional levels;
 25. *Recognizes* the need to strengthen international cooperation and expertise in order to understand and reduce loss and damage associated with the adverse effects of climate change, including impacts related to extreme weather events and slow onset events;
 26. *Decides* to hereby establish a work programme in order to consider, including through workshops and expert meetings, as appropriate, approaches to address loss and damage associated with climate change impacts in developing countries that are particularly vulnerable to the adverse effects of climate change;
 27. *Requests* the Subsidiary Body for Implementation to agree on activities to be undertaken under the above-mentioned work programme;
 28. *Invites* Parties and relevant organizations to submit to the secretariat, by 21 February 2011, views and information on what elements should be included in the work programme, including the following:
 - (a) Possible development of a climate risk insurance facility to address impacts associated with severe weather events;
 - (b) Options for risk management and reduction, risk sharing and transfer mechanisms such as insurance, including options for micro-insurance, and resilience- building, including through economic diversification;
 - (c) Approaches for addressing rehabilitation measures associated with slow onset events;
 - (d) Engagement of stakeholders with relevant specialized expertise;

29. *Requests* the secretariat to compile these submissions into a miscellaneous document and to prepare a synthesis report based on those submissions, to be made available for consideration by the Subsidiary Body for Implementation at its thirty-fourth session, and with a view to making recommendations on loss and damage to the Conference of the Parties for its consideration at its eighteenth session;
30. *Invites* Parties to strengthen and, where necessary, establish regional centres and networks, in particular in developing countries, with support from developed country Parties and relevant organizations, as appropriate, and to facilitate and enhance national and regional adaptation actions, in a manner that is country-driven, encourages cooperation and coordination between regional stakeholders and improves the flow of information between the Convention process and national and regional activities;
31. *Notes* that an international centre to enhance adaptation research and coordination could also be established in a developing country;
32. *Invites* all Parties to strengthen and, where necessary, establish and/or designate national-level institutional arrangements, with a view to enhancing work on the full range of adaptation actions, from planning to implementation;
33. *Decides* that all Parties should use existing channels to provide information, as appropriate, on support provided and received for adaptation actions in developing countries and on activities undertaken, including, inter alia, progress made, experiences, lessons learned, and challenges and gaps in the delivery of support, with a view to ensuring transparency and accountability and encouraging best practices;
34. *Invites* relevant multilateral, international, regional and national organizations, the public and private sectors, civil society and other relevant stakeholders to undertake and support enhanced action on adaptation at all levels, including under the Cancun Adaptation Framework, as appropriate, in a coherent and integrated manner, building on synergies among activities and processes, and to make information available on the progress made;
35. *Requests* the secretariat to support the implementation of the Cancun Adaptation Framework, including related institutional arrangements under the Convention, in accordance with its mandate and subject to the availability of resources;

(...)

IV. Finance, technology and capacity-building

A. Finance

95. *Takes note* of the collective commitment by developed countries to provide new and additional resources, including forestry and investments through international institutions, approaching USD 30 billion for the period 2010–2012, with a balanced allocation between adaptation and mitigation; funding for adaptation will be prioritized for the most vulnerable developing countries, such as the least developed countries, small island developing States and Africa;

96. *Invites*, in order to enhance transparency, developed country Parties to submit to the secretariat for compilation into an information document, by May 2011, 2012 and 2013, information on the resources provided to fulfil the commitment referred to in paragraph 95 above, including ways in which developing country Parties access these resources;
 97. *Decides* that, in accordance with the relevant provisions of the Convention, scaled-up, new and additional, predictable and adequate funding shall be provided to developing country Parties, taking into account the urgent and immediate needs of developing countries that are particularly vulnerable to the adverse effects of climate change;
 98. *Recognizes* that developed country Parties commit, in the context of meaningful mitigation actions and transparency on implementation, to a goal of mobilizing jointly USD 100 billion per year by 2020 to address the needs of developing countries;
 99. *Agrees* that, in accordance with paragraph 1(e) of the Bali Action Plan, funds provided to developing country Parties may come from a wide variety of sources, public and private, bilateral and multilateral, including alternative sources;
 100. *Decides* that a significant share of new multilateral funding for adaptation should flow through the Green Climate Fund, referred to in paragraph 102 below;
 101. *Takes note* of the relevant reports on the financing needs and options for the mobilization of resources to address the needs of developing country Parties with regard to climate change adaptation and mitigation, including the report of the High-level Advisory Group on Climate Change Financing;
 102. *Decides* to establish a Green Climate Fund, to be designated as an operating entity of the financial mechanism of the Convention under Article 11, with arrangements to be concluded between the Conference of the Parties and the Green Climate Fund to ensure that it is accountable to and functions under the guidance of the Conference of the Parties, to support projects, programmes, policies and other activities in developing country Parties using thematic funding windows;
- (...)
112. *Decides* to establish a Standing Committee under the Conference of the Parties to assist the Conference of the Parties in exercising its functions with respect to the financial mechanism of the Convention in terms of improving coherence and coordination in the delivery of climate change financing, rationalization of the financial mechanism, mobilization of financial resources and measurement, reporting and verification of support provided to developing country Parties; Parties agree to further define the roles and functions of this Standing Committee;

2011 DURBAN: NATIONAL ADAPTATION PLANS

Decision 5/CP.17

The Conference of the Parties,

Recalling Article 4, paragraphs 4 and 9, and relevant Articles of the Convention,

Also recalling decision 1/CP.16,

Acknowledging that national adaptation planning can enable all developing and developed country Parties to assess their vulnerabilities, to mainstream climate change risks and to address adaptation,

Also acknowledging that, because of their development status, climate change risks magnify development challenges for least developed countries,

Recognizing the need to address adaptation planning in the broader context of sustainable development planning,

I. Framing national adaptation plans

1. *Agrees* that the objectives of the national adaptation plan process are as follows:
 - (a) To reduce vulnerability to the impacts of climate change, by building adaptive capacity and resilience;
 - (b) To facilitate the integration of climate change adaptation, in a coherent manner, into relevant new and existing policies, programmes and activities, in particular development planning processes and strategies, within all relevant sectors and at different levels, as appropriate;
2. *Also agrees* that planning for adaptation at the national level is a continuous, progressive and iterative process, the implementation of which should be based on nationally identified priorities, including those reflected in the relevant national documents, plans and strategies, and coordinated with national sustainable development objectives, plans, policies and programmes;
3. *Further agrees* that enhanced action on adaptation should be undertaken in accordance with the Convention, should follow a country-driven, gender-sensitive, participatory and fully transparent approach, taking into consideration vulnerable groups, communities and ecosystems, and should be based on and guided by the best available science and, as appropriate, traditional and indigenous knowledge, and by gender-sensitive approaches, with a view to integrating adaptation into relevant social, economic and environmental policies and actions, where appropriate;
4. *Agrees* that the national adaptation plan process should not be prescriptive, nor result in the duplication of efforts undertaken in-country, but should rather facilitate country-owned, country-driven action;

II. A process to enable least developed country Parties to formulate and implement national adaptation plans

A. Guidelines

5. *Agrees* that the formulation of national adaptation plans should build on and complement existing adaptation planning;

6. *Decides* to adopt the initial guidelines for the formulation of national adaptation plans contained in the annex to this decision;
7. *Invites* Parties and relevant organizations to submit to the secretariat, by 13 February 2013, information on their experiences with the application of the guidelines for the national adaptation plan process for least developed country Parties, for compilation by the secretariat into a miscellaneous document for consideration by the Subsidiary Body for Implementation at its thirty-eighth session;
8. *Requests* the secretariat to prepare a synthesis report on experiences with the application of the guidelines for the national adaptation plan process in least developed country Parties, taking into account the submissions referred to in paragraph 7 above and other relevant sources of information, for consideration by the Subsidiary Body for Implementation at its thirty-eighth session;
9. *Decides* to take stock of, and if necessary revise, the guidelines mentioned in paragraph 6 above at its nineteenth session, taking into account the submissions referred to in paragraph 7 above, the synthesis report referred to in paragraph 8 above, reports of the Least Developed Country Expert Group and other relevant sources of information;
10. *Invites* least developed country Parties to use the guidelines and modalities contained in this decision, in accordance with their national circumstances, in preparing their national adaptation plans;
11. *Also invites* least developed country Parties to strive to implement institutional arrangements to facilitate their national adaptation plan process, building on existing institutions and consistent with their national circumstances;

B. Modalities

12. *Decides* on the following modalities to support and enable least developed country Parties to formulate and implement national adaptation plans, inter alia:
 - (a) Technical guidelines for the national adaptation plans;
 - (b) Workshops and expert meetings;
 - (c) Training activities;
 - (d) Regional exchanges;
 - (e) Syntheses of experiences, best practices and lessons learned;
 - (f) Technical papers;
 - (g) Technical advice;
13. *Requests* the Least Developed Countries Expert Group to provide technical guidance and support to the national adaptation plan process, as appropriate;
14. *Also requests* the Least Developed Countries Expert Group, in carrying out its mandate to support the identification and implementation of medium- and long-term adaptation in least developed countries, to prioritize support for the formulation and implementation of national adaptation plans;
15. *Further requests* the Least Developed Countries Expert Group to prepare technical guidelines as referred to in paragraph 12(a) above for the national

- adaptation plan process, based on the initial guidelines, included in the annex to this decision;
16. *Requests* the Least Developed Countries Expert Group to arrange a review of the above-mentioned technical guidelines and to identify support needs for the process of formulation and implementation of the national adaptation plans, including through the modalities referred to in paragraph 12 above;
 17. *Also requests* the Least Developed Countries Expert Group to invite the Adaptation Committee and other relevant bodies under the Convention to contribute to its work in support of the national adaptation plan process; and to report, as appropriate;
 18. *Invites* national and regional centres and networks to strengthen their programmes and engage in support of the national adaptation plan process in least developed country Parties, at the regional, national and subnational levels, as appropriate, in a manner that is country-driven and that encourages cooperation and coordination between regional stakeholders;
 19. *Also invites* Parties to strengthen their engagement with regional centres and networks, where possible, in the process of formulation and implementation of the national adaptation plan process in least developed country Parties;
 20. *Requests* developed country Parties to continue to provide least developed country Parties with finance, technology and capacity-building in accordance with decision 1/CP.16, including paragraph 18, and other relevant decisions of the Conference of the Parties;
- C. Financial arrangements for the formulation and implementation of national adaptation plans**
21. *Urges* developed country Parties to mobilize financial support for the national adaptation plan process for least developed country Parties through bilateral and multilateral channels, including through the Least Developed Countries Fund, in accordance with decision 1/CP.16;
 22. *Requests* the Global Environment Facility, as an operating entity of the financial mechanism, through the Least Developed Countries Fund, to consider how to enable activities for the preparation of the national adaptation plan process for least developed countries Parties, while maintaining progress for the least developed countries work programme, which includes the national adaptation programmes of action;
 23. *Invites* United Nations organizations, specialized agencies and other relevant organizations, as well as bilateral and multilateral agencies, to support the national adaptation plan process in least developed country Parties and, where possible, to consider establishing support programmes for the national adaptation plan process within their mandates, as appropriate, which could facilitate financial and technical support to least developed country Parties; and to submit to the secretariat, by 13 February 2012, information on how they have responded to this invitation;
 24. *Also invites* Parties and relevant organizations as well as bilateral and multilateral agencies, to submit to the secretariat, by 13 February 2012,

- information on support to the national adaptation plan process in least developed countries;
25. *Further invites* the Global Environment Facility, as an operating entity of the financial mechanism for the operation of the Least Developed Countries Fund, to submit information to the Subsidiary Body for Implementation, through the secretariat, by 13 February 2012, on how they could enable activities undertaken as part of the national adaptation plan process in least developed country Parties, for compilation by the secretariat into a miscellaneous document for consideration by the Subsidiary Body for Implementation at its thirty-sixth session;
 26. *Requests* the secretariat to prepare a synthesis report on the support for the national adaptation plan process for least developed country Parties, taking into account the submissions referred to in paragraphs 23–25 above and other relevant sources of information, for consideration by the Subsidiary Body for Implementation at its thirty-sixth session;
 27. *Also requests* the Subsidiary Body for Implementation to consider guidance on policies and programmes to enable support for the national adaptation plan process for least developed country Parties, at its thirty-sixth session, taking into account, inter alia, the guidance in decision 27/CP.7 and the synthesis report referred to in paragraph 26 above, and taking into account other relevant decisions on financial support under the Convention, for consideration by the Conference of the Parties at its eighteenth session;
- III. An invitation to developing country Parties that are not least developed country Parties to employ the modalities for national adaptation plans**
28. *Reiterates* the invitation to other developing country Parties to employ the modalities for national adaptation plans elaborated in this decision;
 29. *Invites* interested developing country Parties that are not least developed country Parties to use the guidelines for the national adaptation plans for least developed country Parties adopted in this decision, in accordance with their national circumstances, when formulating their national adaptation plans;
 30. *Requests* the Adaptation Committee, in accordance with its agreed functions, to consider, in its workplan, the relevant modalities for supporting interested developing country Parties that are not least developed country Parties, to plan, prioritize and implement their national adaptation planning measures, including through the use of the modalities contained in this decision, and to report to the Conference of the Parties at its eighteenth session;
 31. *Invites* the operating entities of the financial mechanism of the Convention, bilateral and multilateral organizations and other institutions as appropriate, to provide financial and technical support to developing country Parties to plan, prioritize and implement their national adaptation planning measures, consistent with decision 1/CP.16 and relevant provisions of the Convention;

IV. Reporting, monitoring and evaluation

32. *Invites* Parties to provide information, through their national communications, on what measures they have undertaken and on support provided or received relevant to the national adaptation plan process;
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;
34. *Requests* the Least Developed Countries Expert Group, the Adaptation Committee 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;
35. *Invites* United Nations organizations, multilateral, intergovernmental and other international and regional organizations to provide information on their activities to support the national adaptation plan process;
36. *Requests* the secretariat, consistent with Article 8 of the Convention, to collect, compile and synthesize information needed by the Subsidiary Body for Implementation to monitor and evaluate the progress made on the national adaptation plan process, drawing upon information in accordance with paragraphs 32–35 above;
37. *Also requests* the Subsidiary Body for Implementation to monitor and evaluate progress made on the national adaptation plan process at its forty-second session, based on the reports by the secretariat referred to in paragraph 36 above, with a view to making recommendations to the Conference of the Parties, as appropriate;
38. *Further requests* the secretariat to utilize and enhance existing databases, to include information on support and other activities under the national adaptation plan process, as appropriate;
39. *Requests* that the actions of the secretariat called for in this decision be undertaken subject to the availability of financial resources.

Annex: Initial guidelines for the formulation of national adaptation plans by least developed country Parties**I. Introduction**

1. The elements described in paragraphs 2–6 below are indicative of the activities that can be undertaken in the development of national adaptation plans (NAPs). The planning of such activities will depend on national circumstances and should be determined by least developed country Parties.

II. Elements of national adaptation plans A. Laying the groundwork and addressing gaps

2. Activities undertaken under this element would be planned with a view to identifying weaknesses and gaps in enabling environments, and addressing them as necessary, to support the formulation of comprehensive adaptation plans, programmes and policies, through, inter alia:

- (a) Identification and assessment of institutional arrangements, programmes, policies and capacities for overall coordination and leadership on adaptation;
- (b) Assessment of available information on climate change impacts, vulnerability and adaptation, measures taken to address climate change, and gaps and needs, at the national and regional levels;
- (c) Comprehensive, iterative assessments of development needs and climate vulnerabilities.

B. Preparatory elements

3. 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:
 - (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;
 - (b) Assessments of medium- and long-term adaptation needs, and, as appropriate, development needs and climate vulnerabilities;
 - (c) Activities aimed at integrating climate change adaptation into national and subnational development and sectoral planning;
 - (d) Participatory stakeholder consultations;
 - (e) Communication, awareness-raising and education.

C. Implementation strategies

4. Activities carried out as part of the implementation strategies would take into consideration the following:
 - (a) Prioritizing work according to development needs and climate change vulnerability and risk;
 - (b) Strengthening institutional and regulatory frameworks to support adaptation;
 - (c) Training and coordination at the sectoral and subnational levels;
 - (d) Public dissemination of information on the national adaptation plan process, to be made available to the public and to the UNFCCC secretariat;
 - (e) Considering other relevant multilateral frameworks and international programmes and initiatives, with a view to building on and complementing existing adaptation planning.

D. Reporting, monitoring and review

5. These activities, including national adaptation plan documents, could be included in national strategies and plans, as appropriate.
6. Under this element, Parties should undertake a regular review, at intervals that they determine:
 - (a) To address inefficiencies, incorporating the results of new assessments and emerging science and reflect lessons learned from adaptation efforts;

- (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.

2012 DOHA CLIMATE GATEWAY: AGREED OUTCOME PURSUANT TO THE BALI ACTION PLAN

Decision I/CP.18

The Conference of the Parties,

(...)

III. Enhanced action on adaptation

(...)

55. *Decides* that the Conference of the Parties and its subsidiary bodies and other bodies under the Convention will continue their work to enhance action on adaptation under the Convention, as provided for in the Cancun Adaptation Framework and relevant decisions of the Conference of the Parties;
56. *Also decides*, in progressing such work, to give consideration to issues relating to the coherence of the action of and the support provided to, developing country Parties, the engagement and role of regional centres and networks, and the promotion of livelihood and economic diversification to build resilience in the context of planning, prioritizing and implementing adaptation actions;
57. *Requests* the Adaptation Committee to consider the establishment of an annual adaptation forum, to be held in conjunction with the sessions of the Conference of the Parties, to maintain a high profile for adaptation under the Convention, to raise awareness and ambition with regard to adaptation actions and to facilitate enhanced coherence of adaptation actions;

2014 LIMA CALL FOR CLIMATE ACTION

Decision I/CP.20

The Conference of the Parties,

2. *Decides* that the protocol, another legal instrument or agreed outcome with legal force under the Convention applicable to all Parties shall address in a balanced manner, inter alia, mitigation, adaptation, finance, technology development and transfer, and capacity-building, and transparency of action and support;
- (...)
12. *Invites* all Parties to consider communicating their undertakings in adaptation planning or consider including an adaptation component in their intended nationally determined contributions;

2015 PARIS DECISION

Decision I/CP.21

The Conference of the Parties,

(...)

III. Decisions to give effect to the Agreement

(...)

Adaptation

41. *Requests* the Adaptation Committee and the Least Developed Countries Expert Group to jointly develop modalities to recognize the adaptation efforts of developing country Parties, as referred to in Article 7, paragraph 3, of the Agreement, and make recommendations for consideration and adoption by the Conference of the Parties serving as the meeting of the Parties to the Paris Agreement at its first session;
42. *Also requests* the Adaptation Committee, taking into account its mandate and its second three-year workplan, and with a view to preparing recommendations for consideration and adoption by the Conference of the Parties serving as the meeting of the Parties to the Paris Agreement at its first session:
 - (a) To review, in 2017, the work of adaptation-related institutional arrangements under the Convention, with a view to identifying ways to enhance the coherence of their work, as appropriate, in order to respond adequately to the needs of Parties;
 - (b) To consider methodologies for assessing adaptation needs with a view to assisting developing country Parties, without placing an undue burden on them;
43. *Invites* all relevant United Nations agencies and international, regional and national financial institutions to provide information to Parties through the secretariat on how their development assistance and climate finance programmes incorporate climate-proofing and climate resilience measures;
44. *Requests Parties* to strengthen regional cooperation on adaptation where appropriate and, where necessary, establish regional centres and networks, in particular in developing countries, taking into account decision I/CP.16, paragraph 30;
45. *Also requests* the Adaptation Committee and the Least Developed Countries Expert Group, in collaboration with the Standing Committee on Finance and other relevant institutions, to develop methodologies, and make recommendations for consideration and adoption by the Conference of the Parties serving as the meeting of the Parties to the Paris Agreement at its first session on:
 - (a) Taking the necessary steps to facilitate the mobilization of support for adaptation in developing countries in the context of the limit to global average temperature increase referred to in Article 2 of the Agreement;
 - (b) Reviewing the adequacy and effectiveness of adaptation and support referred to in Article 7, paragraph 14(c), of the Agreement;

46. *Further requests* the Green Climate Fund to expedite support for the least developed countries and other developing country Parties for the formulation of national adaptation plans, consistent with decisions 1/CP.16 and 5/CP.17, and for the subsequent implementation of policies, projects and programmes identified by them;

(...)

2015 PARIS AGREEMENT

The Parties to this Agreement,

(...)

Have agreed as follows:

Article 7

1. Parties hereby establish the global goal on adaptation of enhancing adaptive capacity, strengthening resilience and reducing vulnerability to climate change, with a view to contributing to sustainable development and ensuring an adequate adaptation response in the context of the temperature goal referred to in Article 2.
2. Parties recognize that adaptation is a global challenge faced by all with local, subnational, national, regional and international dimensions, and that it is a key component of and makes a contribution to the long-term global response to climate change to protect people, livelihoods and ecosystems, taking into account the urgent and immediate needs of those developing country Parties that are particularly vulnerable to the adverse effects of climate change.
3. The adaptation efforts of developing country Parties shall be recognized, in accordance with the modalities to be adopted by the Conference of the Parties serving as the meeting of the Parties to the Paris Agreement at its first session.
4. Parties recognize that the current need for adaptation is significant and that greater levels of mitigation can reduce the need for additional adaptation efforts, and that greater adaptation needs can involve greater adaptation costs.
5. Parties acknowledge that adaptation action should follow a country-driven, gender-responsive, participatory and fully transparent approach, taking into consideration vulnerable groups, communities and ecosystems, and should be based on and guided by the best available science and, as appropriate, traditional knowledge, knowledge of indigenous peoples and local knowledge systems, with a view to integrating adaptation into relevant socioeconomic and environmental policies and actions, where appropriate.
6. Parties recognize the importance of support for and international cooperation on adaptation efforts and the importance of taking into account the needs of developing country Parties, especially those that are particularly vulnerable to the adverse effects of climate change.

7. Parties should strengthen their cooperation on enhancing action on adaptation, taking into account the Cancun Adaptation Framework, including with regard to:
 - (a) Sharing information, good practices, experiences and lessons learned, including, as appropriate, as these relate to science, planning, policies and implementation in relation to adaptation actions;
 - (b) Strengthening institutional arrangements, including those under the Convention that serve this Agreement, to support the synthesis of relevant information and knowledge, and the provision of technical support and guidance to Parties;
 - (c) Strengthening scientific knowledge on climate, including research, systematic observation of the climate system and early warning systems, in a manner that informs climate services and supports decision-making;
 - (d) Assisting developing country Parties in identifying effective adaptation practices, adaptation needs, priorities, support provided and received for adaptation actions and efforts, and challenges and gaps, in a manner consistent with encouraging good practices;
 - (e) Improving the effectiveness and durability of adaptation actions.
8. United Nations specialized organizations and agencies are encouraged to support the efforts of Parties to implement the actions referred to in paragraph 7 of this Article, taking into account the provisions of paragraph 5 of this Article.
9. Each Party shall, as appropriate, engage in adaptation planning processes and the implementation of actions, including the development or enhancement of relevant plans, policies and/or contributions, which may include:
 - (a) The implementation of adaptation actions, undertakings and/or efforts;
 - (b) The process to formulate and implement national adaptation plans;
 - (c) The assessment of climate change impacts and vulnerability, with a view to formulating nationally determined prioritized actions, taking into account vulnerable people, places and ecosystems;
 - (d) Monitoring and evaluating and learning from adaptation plans, policies, programmes and actions; and
 - (e) Building the resilience of socioeconomic and ecological systems, including through economic diversification and sustainable management of natural resources.
10. 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.
11. 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.

12. The adaptation communications referred to in paragraph 10 of this Article shall be recorded in a public registry maintained by the secretariat.
13. 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.
14. The global stocktake referred to in Article 14 shall, inter alia:
 - (a) Recognize adaptation efforts of developing country Parties;
 - (b) Enhance the implementation of adaptation action taking into account the adaptation communication referred to in paragraph 10 of this Article;
 - (c) Review the adequacy and effectiveness of adaptation and support provided for adaptation; and
 - (d) Review the overall progress made in achieving the global goal on adaptation referred to in paragraph 1 of this Article.

Article 13

(...)

5. The purpose of the framework for transparency of action is to provide a clear understanding of climate change action in the light of the objective of the Convention as set out in its Article 2, including clarity and tracking of progress towards achieving Parties' individual nationally determined contributions under Article 4, and Parties' adaptation actions under Article 7, including good practices, priorities, needs and gaps, to inform the global stocktake under Article 14.
6. The purpose of the framework for transparency of support is to provide clarity on support provided and received by relevant individual Parties in the context of climate change actions under Articles 4, 7, 9, 10 and 11, and, to the extent possible, to provide a full overview of aggregate financial support provided, to inform the global stocktake under Article 14.

(...)

8. Each Party should also provide information related to climate change impacts and adaptation under Article 7, as appropriate.

(...)

Article 14

1. The Conference of the Parties serving as the meeting of the Parties to this Agreement shall periodically take stock of the implementation of this Agreement to assess the collective progress towards achieving the purpose of this Agreement and its long-term goals (referred to as the "global stocktake"). It shall do so in a comprehensive and facilitative manner, considering mitigation, adaptation and the means of implementation and support, and in the light of equity and the best available science.

(...)

2018 KATOWICE CLIMATE PACKAGE

Decision 9/CMA.1: Further guidance in relation to the adaptation communication, including, inter alia, as a component of nationally determined contributions, referred to in Article 7, paragraphs 10 and 11, of the Paris Agreement

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

Recalling relevant provisions of the Convention and the Paris Agreement, in particular Article 7,

Recognizing the importance of flexibility provided to Parties by Article 7, paragraphs 10 and 11, of the Paris Agreement for submitting and updating the adaptation communication,

Recalling decisions 4/CP.5, 17/CP.8 and 5/CP.17,

Recognizing the links between adaptation and sustainable development, including the Sustainable Development Goals and the Sendai Framework for Disaster Risk Reduction 2015–2030,

Emphasizing the intrinsic relationship that climate change actions, responses and impacts have with equitable access to sustainable development and eradication of poverty,

Recalling that continuous and enhanced international support shall be provided to developing country Parties for the implementation of Article 7, paragraphs 7, 9, 10 and 11, of the Paris Agreement, in accordance with the provisions of Articles 9, 10 and 11 of the Paris Agreement,

1. *Notes* that the purpose of the adaptation communication is to:
 - (a) Increase the visibility and profile of adaptation and its balance with mitigation;
 - (b) Strengthen adaptation action and support for developing countries;
 - (c) Provide input to the global stocktake;
 - (d) Enhance learning and understanding of adaptation needs and actions;
2. *Decides* that the adaptation communication:
 - (a) Is country-driven and flexible, including in the choice of communication or
 - (b) document, as provided in Article 7, paragraphs 10 and 11, of the Paris Agreement;
 - (c) Shall not pose any additional burden on developing country Parties, is not a basis for comparisons between Parties and is not subject to a review;
3. *Recalls* that, 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;
4. *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;
 5. *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 -/CMA.1;
 6. *Invites* Parties that choose to submit an adaptation communication to do so in time to inform each global stocktake;
 7. *Also invites* Parties, according to their national circumstances and capacities, to provide in their adaptation communication information on the elements referred to in paragraphs (a) to (d) of the annex and to provide, as appropriate, additional information on the elements referred to in paragraphs (e) to (i) of the annex;
 8. *Further invites* Parties to include, as appropriate, ex ante information in their adaptation communication, based on the elements identified in the annex;
 9. *Acknowledges* that Parties may, when submitting an adaptation communication, tailor the information provided, taking into account the specific communications or documents used;
 10. *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;
 11. *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;
 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;
 13. *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;
 14. *Also acknowledges* that adaptation communications and other relevant information will be synthesized in line with paragraph 23(b) of decision -CMA.12 and will contribute to reviewing the overall progress in achieving the global goal on adaptation;
 15. *Requests* the Adaptation Committee to develop, with the engagement of the Intergovernmental Panel on Climate Change 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, 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;
16. *Decides* to take stock of, and if necessary revise, the guidance contained in this decision, taking into account the submissions referred to in paragraph 17 below and the synthesis report referred to in paragraph 18 below, at its eighth session (2025);
 17. *Invites Parties* to submit via the submission portal³ by February 2025 information on their experience with the application of the guidance contained in this decision;
 18. *Requests* the secretariat to prepare a synthesis report on the submissions referred to in paragraph 17 above for consideration by the Subsidiary Body for Implementation at its sixty- second session (2025);
 19. *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;
 20. *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
 21. *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;
 22. *Takes note* of the estimated budgetary implications of the activities to be undertaken by the secretariat referred to in paragraph 18 above;
 23. *Requests* that the actions of the secretariat called for in this decision be undertaken subject to the availability of financial resources.

Decision 18/CMA.1 Modalities, procedures and guidelines for the transparency framework for action and support referred to in Article 13 of the Paris Agreement

(...)

E. Reporting format

10. In the biennial transparency report:

(...)

(c) Each Party should provide information on climate change impacts and adaptation under Article 7 of the Paris Agreement, in accordance with the MPGs contained in chapter IV below;

(...)

13. If a Party submits an adaptation communication as a component of or in conjunction with a biennial transparency report, it should clearly identify which part of the report is the adaptation communication.

14. When reporting information related to climate change impacts and adaptation under Article 7 of the Paris Agreement as referred to in paragraph 10(c) above, a Party may cross-reference previously reported information and focus its reporting on updates to previously reported information.

(...)

IV. Information related to climate change impacts and adaptation under Article 7 of the Paris Agreement

104. Each Party should provide information related to climate change impacts and adaptation under Article 7 of the Paris Agreement, as appropriate. As such, providing this information is not mandatory.

105. Information provided below could facilitate, inter alia, recognition of the adaptation efforts of developing country Parties.

A. National circumstances, institutional arrangements and legal frameworks

106. Each Party should provide the following information, as appropriate:

(a) National circumstances relevant to adaptation actions of Parties, including biogeophysical characteristics, demographics, economy, infrastructure and information on adaptive capacity;

(b) Institutional arrangements and governance, including for assessing impacts, addressing climate change at the sectoral level, decision-making, planning, coordination, addressing cross-cutting issues, adjusting priorities and activities, consultation, participation, implementation, data governance, monitoring and evaluation, and reporting;

(c) Legal and policy frameworks and regulations.

B. Impacts, risks and vulnerabilities, as appropriate

107. Each Party should provide the following information, as appropriate:

(a) Current and projected climate trends and hazards;

(b) Observed and potential impacts of climate change, including sectoral, economic, social and/or environmental vulnerabilities;

(c) Approaches, methodologies and tools, and associated uncertainties and challenges used in paragraph 107(a) and (b) above.

C. Adaptation priorities and barriers

108. Each Party should provide the following information, as appropriate:

(a) Domestic priorities and progress towards these priorities;

(b) Adaptation challenges and gaps and barriers to adaptation.

D. Adaptation strategies, policies, plans, goals and actions to integrate adaptation into national policies and strategies

109. Each Party should provide the following information, as appropriate:

(a) Implementation of adaptation actions in accordance with the global goal for 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;

(e) Any adaptation actions and/or economic diversification plans leading to mitigation co-benefits;

(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.

E. Progress on implementation of adaptation

110. Each Party should provide the following information, as appropriate, on progress in:

(a) Implementation of the actions identified in chapter IV.D above;

(b) Steps taken to formulate, implement, publish and update national and regional programmes; strategies and measures, policy frameworks (e.g. national adaptation plans) and other relevant information;

(c) Implementation of adaptation actions identified in current and past adaptation communications, including efforts towards meeting adaptation needs, as appropriate;

(d) Implementation of adaptation actions identified in the adaptation component of NDCs, as applicable;

(e) Coordination activities and changes in regulation, policies and planning.

111. Developing country Parties may also include information on, as appropriate, implementation of supported adaptation actions, and the effectiveness of already implemented adaptation measures.

F. Monitoring and evaluation of adaptation actions and processes

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.

113. Each Party should provide the following information, as appropriate, related to monitoring and evaluation:

(a) Achievements, impacts, resilience, review, effectiveness and results;

(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.
114. Each Party should provide information related to the effectiveness and sustainability of adaptation actions, as appropriate, including information on:
- (a) Ownership, stakeholder engagement, alignment of adaptation actions to national and subnational policies, and replicability;
 - (b) The results of adaptation actions and the sustainability of those results.

G. Information related to averting, minimizing and addressing loss and damage associated with climate change impacts

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 activities reported under paragraph 115(b) above.

H. Cooperation, good practices, experience and lessons learned

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 innovations 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 identify effective adaptation practices, needs, priorities, and challenges and gaps, in such 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.

I. Any other information related to climate change impacts and adaptation under Article 7 of the Paris Agreement

117. Each Party may provide, as appropriate, any other information related to climate change impacts and adaptation under Article 7.

Decision 11/CP.1 Matters referred to in paragraphs 41, 42 and 45 of decision 1/CP.21

(...)

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

1. *Decides* that the Adaptation Committee and the Least Developed Countries Expert Group shall serve the Paris Agreement;
2. *Assigns* any future and emerging adaptation-related work necessary for the effective implementation of the Paris Agreement to existing institutions;
3. *Encourages* institutional arrangements related to finance, technology development and transfer and capacity-building, in line with their mandates, to strive for a balance between adaptation and mitigation, while respecting a country-driven approach;
4. *Invites* partner organizations of the Nairobi work programme on impacts, vulnerability and adaptation to climate change, in collaboration with the Adaptation Committee, to support the work of other adaptation-related institutional arrangements, in particular by providing relevant scientific and technical information and sharing knowledge;
5. *Also invites* the Consultative Group of Experts and the Least Developed Countries Expert Group, in line with their mandates, as appropriate, ensuring efficiency and consistency, to work together on training for assessing vulnerability and other aspects of adaptation;
6. *Requests* the Adaptation Committee, as necessary and in consultation with relevant adaptation-related institutions, to continue to make recommendations in its annual report on enhancing collaboration and promoting coherence and synergies with a view to addressing Parties' evolving adaptation-related needs;
7. *Urges* developed country Parties and invites other Parties that provide resources on a voluntary basis to make available sufficient resources for the successful and timely implementation of the work of adaptation-related institutions under the Convention and the Paris Agreement;

II. Modalities for recognizing the adaptation efforts of developing country Parties

8. *Notes* the existing work of the Adaptation Committee and the Least Developed Countries Expert Group related to synthesizing information on specific adaptation themes and on relevant lessons learned and good practices;
9. *Requests* the secretariat to include in the synthesis report prepared for the global stocktake called for in paragraph 23(b) of decision -/CMA.1 information on the adaptation efforts of developing country Parties, in order to facilitate recognition of such efforts in the global stocktake, drawing on, inter alia, the most recent documents that may contain adaptation information, which may include adaptation communications, national adaptation plans, national communications, nationally determined contributions, other relevant reports prepared under the transparency framework and reports of the Intergovernmental Panel on Climate Change and other relevant scientific bodies;
10. *Decides* to recognize, guided by the high-level committee and taking into account a country-driven approach, the adaptation efforts of developing country Parties during the high-level events of the global stocktake referred to in paragraph 34 of decision -/CMA.1;
11. *Requests* the secretariat to prepare a report summarizing the recognition of adaptation efforts of developing country Parties referred to in paragraph 10 above drawing on, inter alia, the synthesis report referred to in paragraph 9 above and the outputs referred to in paragraph 34 of decision -/CMA.1;
12. *Decides* to make use of existing national, regional and global events, including the NAP Expo and the Adaptation Forum of the Adaptation Committee, to showcase the adaptation efforts of developing country Parties;
13. *Requests* the secretariat, under the guidance of the Adaptation Committee and the Least Developed Countries Expert Group and in collaboration with relevant stakeholders, to prepare synthesis reports every two years starting in 2020 on specific adaptation themes, focusing on relevant lessons learned and good practices in developing country Parties;
14. *Recalls* that the global stocktake will review the overall progress made in achieving the global goal on adaptation and acknowledges that adaptation efforts contribute to this objective;

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

15. *Requests* the Adaptation Committee, in collaboration with the Least Developed Countries Expert Group, partner organizations of the Nairobi work programme, users and developers of relevant methodologies, including academia and the private sector, to develop by June 2020 and to regularly update an inventory of relevant methodologies for assessing adaptation needs, including needs related to action, finance, capacity-

- building and technological support in the context of national adaptation planning and implementation, and to make the information available on the adaptation knowledge portal;
16. *Invites* Parties and observer organizations to submit via the submission portal⁸ by February 2021 their views and information on the development and application of methodologies for assessing adaptation needs, including needs related to action, finance, capacity-building and technological support;
 17. *Requests* the Adaptation Committee, with the engagement of the Intergovernmental Panel on Climate Change Working Group II, as appropriate, to prepare, drawing on the inventory referred to in paragraph 15 above and the submissions referred to in paragraph 16 above, a technical paper on methodologies for assessing adaptation needs and their application, as well as on the related gaps, good practices, lessons learned and guidelines, for consideration and further guidance by the Subsidiary Body for Scientific and Technological Advice at its fifty-seventh session (November 2022) in the context of its consideration of the report of the Adaptation Committee;
 18. *Invites* all relevant entities to further improve the applicability of existing methodologies and tools for assessing adaptation needs related to action, finance, capacity- building and technological support;
 19. *Also invites* the World Meteorological Organization, through its Global Framework for Climate Services, with a view to facilitating the development and application of methodologies for assessing adaptation needs, to regularly inform the Subsidiary Body for Scientific and Technological Advice about its activities aimed at improving the availability and accessibility of comprehensive climate information, including observational data, and about how it facilitates the provision and dissemination of the most up-to-date climate model predictions and projections;
 20. *Further invites* the Paris Committee on Capacity-building and providers of capacity- building support, as appropriate and in accordance with their mandates, while further enhancing capacity-building efforts, to facilitate the access to and implementation of methodologies for assessing the adaptation needs of developing country Parties in the context of providing support for building adaptation capacity;

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

21. *Invites* the Standing Committee on Finance, in line with its mandate and in collaboration with the Technology Executive Committee and the Paris Committee on Capacity-building, to consider, taking into account the recommendations of the Adaptation Committee and the Least Developed Countries Expert Group, as well as relevant submissions from Parties and observer organizations, ways to facilitate the mobilization of support for adaptation in developing countries, in the context of the limit to the

- increase in the global average temperature referred to in Article 2 of the Paris Agreement, and to include recommendations in its annual report;
22. *Also invites* Parties to further enhance their enabling environments, policy frameworks, institutions and national public financial management systems with a view to improving access to international public support, as appropriate, and to enhancing the involvement of the private sector;
 23. *Urges* developed country Parties and invites other Parties that provide resources on a voluntary basis, United Nations entities and other relevant organizations, as well as bilateral and multilateral agencies, to assist the least developed country Parties and other developing country Parties, drawing on the work of the Adaptation Committee, the Least Developed Countries Expert Group and other relevant bodies, as appropriate, in building or strengthening their enabling environments, policy frameworks, institutions and national public financial management systems so as to mobilize support for adaptation, in particular capacity-building, including as part of the process to formulate and implement national adaptation plans;
 24. *Invites* Parties to continue engaging in adaptation planning processes and the implementation of action, including the process to formulate and implement national adaptation plans;
 25. *Takes note* of the resources available through the operating entities of the Financial Mechanism for strengthening developing country Parties' institutional capacity for programming their priority climate actions and for tracking and reporting climate finance;
 26. *Invites* Parties and relevant actors to ensure, as appropriate, that steps are taken to identify and subsequently remove perverse incentives that could result in non-resilient investments and planning decisions;
 27. *Requests* Parties to report on support provided and received in line with the reporting instruments and modalities being developed under the Paris Agreement;
 28. *Invites* the operating entities of the Financial Mechanism, in line with their mandates, to seek to ensure that the provision of financial support to developing country Parties is balanced between adaptation and mitigation activities;
 29. *Requests* the Technology Executive Committee and the Climate Technology Centre and Network to facilitate, in line with their mandates, the provision of support for technology development and transfer for adaptation in developing country Parties, promoting a balance between adaptation and mitigation activities;
 30. *Invites* the Paris Committee on Capacity-building to enhance and facilitate the provision of support for capacity-building for adaptation in developing country Parties, promoting a balance between adaptation and mitigation activities;
 31. *Requests* the secretariat to include in the synthesis report prepared for the global stocktake called for in paragraph 23(b) of decision -/CMA.1 an assessment of the support needs for adaptation of developing country

Parties drawing on, inter alia, the most recent documents that may contain adaptation information, which may include adaptation communications, national adaptation plans, national communications, nationally determined contributions, other relevant reports prepared under the transparency framework, reports of the Intergovernmental Panel on Climate Change and other relevant scientific bodies as well as the report referred to in paragraph 13 of decision -/CP.24;

V. Methodologies for reviewing the adequacy and effectiveness of adaptation and support

32. *Notes* the constraints encountered by the Adaptation Committee and the Least Developed Countries Expert Group in developing methodologies, including the differences in national circumstances in relation to adaptation, the difficulty of setting adaptation baselines and targets and the lack of common metrics for measuring progress on adaptation;
33. *Also notes* that the current state of knowledge is not sufficient to address the mandate and requires time and effort to advance;
34. *Invites* Parties, academia and other relevant stakeholders to undertake further technical work, building on the existing work of the Adaptation Committee and the Least Developed Countries Expert Group, in collaboration with the Standing Committee on Finance, and taking into consideration ongoing relevant work under and outside the Convention, on developing methodologies for reviewing the adequacy and effectiveness of adaptation and support;
35. *Also invites* the Adaptation Committee and the Least Developed Countries Expert Group, in collaboration with the Standing Committee on Finance, and relevant experts to contribute to the technical work referred to in paragraph 34 above by continuing to compile existing methodologies for reviewing the adequacy and effectiveness of adaptation and support;
36. *Further invites* Parties, United Nations entities and other relevant organizations, as well as bilateral and multilateral agencies, to submit by April 2020 to the Adaptation Committee and the Least Developed Countries Expert Group information on gaps, challenges, opportunities and options associated with methodologies for reviewing the adequacy and effectiveness of adaptation and support, including in the areas of adaptation needs, plans and strategies; enabling environments and policy frameworks; frameworks used for assessing the effectiveness of adaptation efforts; efforts and systems to monitor and evaluate the effectiveness of adaptation efforts; support through all instruments and channels, including domestic, international, public and private sources and progress towards the implementation and achievement of adaptation goals, plans and strategies;
37. *Takes note* of the estimated budgetary implications of the activities to be undertaken by the secretariat referred to in paragraphs 9, 11, 13 and 31 above;
38. *Requests* that the actions of the secretariat called for in this decision be undertaken subject to the availability of financial resources.

Matters relating to the Adaptation Fund

The Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol,

1. *Takes note* of decision -/CMA.1, whereby the Conference of the Parties serving as the meeting of the Parties to the Paris Agreement decided that the Adaptation Fund shall serve the Paris Agreement under the guidance of, and be accountable to, the Conference of the Parties serving as the meeting of the Parties to the Paris Agreement with respect to all matters relating to the Paris Agreement, effective 1 January 2019;
2. *Decides* that the Adaptation Fund shall exclusively serve the Paris Agreement and shall no longer serve the Kyoto Protocol once the share of proceeds under Article 6, paragraph 4, of the Paris Agreement becomes available;
3. *Also decides*, pursuant to paragraph 2 above, that the Adaptation Fund shall continue to receive the share of proceeds, if available, from activities under Articles 6, 12 and 17 of the Kyoto Protocol;
4. *Further decides* to ensure that developing country Parties and developed country Parties that are Parties to the Paris Agreement are eligible for membership on the Adaptation Fund Board;
5. *Requests* the Subsidiary Body for Implementation, at its fiftieth session (June 2019), to consider the matter referred to in paragraph 4 above, and to forward a recommendation to the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol for consideration at its fifteenth session (November 2019);
6. *Also requests* the Adaptation Fund Board: to consider the rules of procedure of the Board, the arrangements of the Adaptation Fund with respect to the Paris Agreement and any other matter so as to ensure the Adaptation Fund serves the Paris Agreement smoothly; to consider the implications of the Adaptation Fund receiving the share of proceeds from activities under Articles 6, 12 and 17 of the Kyoto Protocol when the Adaptation Fund serves the Paris Agreement; and to make recommendations to the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol at its fifteenth session with a view to the recommendations being forwarded to the Conference of the Parties serving as the meeting of the Parties to the Paris Agreement for consideration at its second session (November 2019).

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